

U.S. DEPARTMENT OF LABOR  
Employment and Training Administration

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**NOTICE OF AVAILABILITY OF FUNDS AND FUNDING OPPORTUNITY  
ANNOUNCEMENT FOR: H-1B RURAL HEALTHCARE GRANT PROGRAM**

**ANNOUNCEMENT TYPE:** *Initial*

**FUNDING OPPORTUNITY NUMBER:** *FOA-ETA-20-12*

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER:** *17.268*

**KEY DATES:** The closing date for receipt of applications under this Announcement is **November 13, 2020**. We must receive applications no later than **4:00:00 p.m. Eastern Time**. On approximately October 7, 2020, a Frequently Asked Questions (FAQs) page about the H-1B Rural Healthcare Grant Program will be available at <https://www.dol.gov/agencies/eta/skills-grants/h1-b-skills-training>. Please check this link frequently for future updates, as additional FAQs may be added. A pre-recorded Prospective Applicant Webinar will be available at the same link on approximately October 7, 2020 and available for viewing any time after that date. While a review of this Webinar is strongly encouraged to support successful grant applications, it is not mandatory.

**ADDRESSES:** *Address mailed applications to:*

*The U.S. Department of Labor  
Employment and Training Administration, Office of Grants Management  
Attention: Brinda Ruggles, Grant Officer  
Reference FOA-ETA-20-12  
200 Constitution Avenue, NW, Room N4716  
Washington, D.C. 20210*

*For complete application and submission information, including online application instructions, please refer to Section IV.*

## TABLE OF CONTENTS

EXECUTIVE SUMMARY .....	5
I. FUNDING OPPORTUNITY DESCRIPTION .....	6
A. PROGRAM PURPOSE .....	6
B. PROGRAM AUTHORITY .....	8
C. TARGET INDUSTRIES .....	8
D. GEOGRAPHIC SCOPE.....	10
E. PROGRAM ACTIVITIES/ALLOWABLE ACTIVITIES .....	10
II. AWARD INFORMATION .....	15
A. AWARD TYPE AND AMOUNT .....	15
B. PERIOD OF PERFORMANCE .....	15
III. ELIGIBILITY INFORMATION .....	15
A. ELIGIBLE APPLICANTS.....	15
B. COST SHARING OR MATCHING.....	18
C. OTHER INFORMATION.....	19
1. Application Screening Criteria .....	19
2. Number of Applications Applicants May Submit.....	20
3. Eligible Participants .....	20
IV. APPLICATION AND SUBMISSION INFORMATION .....	21
A. HOW TO OBTAIN AN APPLICATION PACKAGE.....	21
B. CONTENT AND FORM OF APPLICATION SUBMISSION .....	21
1. SF-424, “Application for Federal Assistance” .....	22
2. Project Budget .....	23
3. Project Narrative .....	26
4. Attachments to the Project Narrative .....	37
C. SUBMISSION DATE, TIME, PROCESS, AND ADDRESS.....	40
1. Hardcopy Submission.....	40
2. Electronic Submission through Grants.gov .....	41
D. INTERGOVERNMENTAL REVIEW.....	44
E. FUNDING RESTRICTIONS .....	44
1. Indirect Costs .....	45
2. Intellectual Property Rights .....	45

3. Grant Recipient Technical Assistance Training .....	47
4. Use of Grant Funds for Paid Work-based Learning Components .....	47
5. Use of Funds for Supportive Services.....	47
6. Grant Profit.....	48
F. OTHER SUBMISSION REQUIREMENTS .....	48
V. APPLICATION REVIEW INFORMATION .....	48
A. CRITERIA .....	48
B. REVIEW AND SELECTION PROCESS.....	50
1. Merit Review and Selection Process.....	50
2. Risk Review Process.....	50
VI. AWARD ADMINISTRATION INFORMATION.....	53
A. AWARD NOTICES .....	53
B. ADMISTRATIVE AND NATIONAL POLICY REQUIREMENTS.....	53
1. Administrative Program Requirements.....	53
2. Other Legal Requirements .....	55
3. Other Administrative Standards and Provisions .....	59
4. Special Program Requirements .....	59
C. REPORTING .....	59
1. Quarterly Financial Reports .....	60
2. WIOA Primary Indicators of Performance.....	60
3. Quarterly Progress Reports .....	61
VII. AGENCY CONTACTS .....	62
VIII. OTHER INFORMATION.....	62
A. WEB-BASED RESOURCES.....	62
B. INDUSTRY COMPETENCY MODELS AND CAREER CLUSTERS .....	62
C. WORKFORCEGPS RESOURCES .....	63
D. SKILLSCOMMONS RESOURCES.....	63
IX. OMB INFORMATION COLLECTION .....	63
APPENDIX A: ALLOWABLE H-1B HEALTHCARE OCCUPATIONS .....	65
APPENDIX B: APPRENTICESHIP RESOURCES.....	68
APPENDIX C: NATIONAL OCCUPATIONAL FRAMEWORKS .....	70
APPENDIX D: SUGGESTED PERFORMANCE OUTCOME MEASURES TABLE .....	71

APPENDIX E: SUGGESTED PROJECT WORK PLAN TABLE.....	75
APPENDIX F: SUGGESTED ABSTRACT FORMAT.....	77

## EXECUTIVE SUMMARY

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The Employment and Training Administration (ETA), U.S. Department of Labor (DOL, or the Department, or we), announces the availability of approximately \$40 million in grant funds authorized under the American Competitiveness and Workforce Improvement Act of 1998 (ACWIA), as amended (codified at 29 USC 3224a) for the H-1B Rural Healthcare Grant Program. The intent of this grant program is to alleviate healthcare workforce shortages by creating sustainable employment and training programs in healthcare occupations (including behavioral and mental healthcare) serving rural populations.<sup>1</sup>

The COVID-19 pandemic has increased the need for healthcare workers, particularly in rural areas where there was already an acute need.<sup>2</sup> Expanding employment and training models for the healthcare industry will help individuals gain the skills necessary to provide needed services, fill vacancies, and allow employers to find skilled workers more readily. This grant program will result in increasing the numbers of individuals in healthcare occupations. Employment and training programs funded through this Funding Opportunity Announcement (FOA) can propose a wide range of training models, including Registered Apprenticeship Programs (RAPs) and Industry-Recognized Apprenticeship Programs (IRAPs).<sup>3</sup> Pre-apprenticeships are permitted only as on-ramps to apprenticeship programs proposed in response to this FOA and must result in placement in apprenticeships during the life of the grant.

Grants under this program will be awarded to partnerships of public and private sector entities. Eligible lead applicants include employers in the healthcare sector; nonprofit healthcare organizations affiliated with hospitals and other medical facilities; healthcare industry and/or occupation associations; organizations designated as “Primary Care Associations” by the U.S. Department of Health and Human Services, Health Resources and Service Administration (HRSA); Workforce Innovation and Opportunity Act (WIOA) State or Local Workforce Development Boards (WDB) and Indian/Native American Tribal Government (federally recognized); and Native American Program entities eligible for funding under Section 166 of WIOA (29 U.S.C. 3221).<sup>4</sup> Employers and education and training providers are required partners.

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<sup>1</sup> For the purposes of this grant program, rural populations are those that 1) meet the criteria defined by the Health Resources & Services Administration (HRSA)’s Federal Office of Rural Health Policy (FORHP) at <https://www.hrsa.gov/rural-health/about-us/definition/index.html>; or 2) any federally recognized Indian tribe.

<sup>2</sup> <https://www.ruralhealthinfo.org/topics/healthcare-access>.

<sup>3</sup> Apprenticeship programs can be either Registered Apprenticeship Programs (RAPs) or Industry-Recognized Apprenticeship Programs (IRAPs). The definition of a RAP can be found in 29 CFR, Part 29, Subpart A. The definition of an IRAP can be found in 29 CFR, Part 29, Subpart B. RAPs are approved through the U.S. Department of Labor’s Office of Apprenticeship or a recognized State Apprenticeship Agency, whereas IRAPs are approved through a Standards Recognition Entity (SRE) recognized by the U.S. Department of Labor. Key to both apprenticeship models are employer involvement, a paid work-based learning component (sometimes referred to as on-the-job learning (OJL) or on-the-job training (OJT)), a related technical instruction component, mentorship, and a recognized postsecondary credential upon program completion.

<sup>4</sup> PCAs are state or regional nonprofit organizations that provide training and technical assistance to health centers and their communities. Assistance is based on statewide and regional needs to help health centers improve

For applicants proposing RAPs or IRAPs in states with federally recognized State Apprenticeship Agencies (SAAs), the applicant must include the SAA as a partner.<sup>5</sup>

These public-private partnerships will leverage resources across federal and state funding streams as well as from the private sector. They will work together toward a coordinated approach to preparing a skilled healthcare workforce for a rural area. The Department encourages applicants to generate at least 15 percent of the total amount of requested funds as leveraged funds to support the grant project. By engaging partners and aligning grant projects with broader workforce activities, applicants will position their projects to sustain efforts beyond the grant period of performance.

Eligible participants served through this grant program must be at least 17 years old and not currently enrolled in secondary school within a local educational agency. Among the individuals eligible to receive training, those of particular interest include veterans, military spouses, transitioning service members, and underrepresented populations, including women, people of color, ex-offenders, individuals with disabilities, and other populations with employment barriers that hinder movement into middle- to high-skilled H-1B healthcare occupations.

## **I. FUNDING OPPORTUNITY DESCRIPTION**

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### **A. PROGRAM PURPOSE**

This Announcement solicits applications for the H-1B Rural Healthcare Grant Program. The recent COVID-19 crisis has placed an unprecedented strain on our nation's healthcare system. Rural areas in particular have struggled with providing needed healthcare services to their communities.<sup>6</sup> The purpose of the grant program is to (1) increase the number of individuals training in healthcare occupations that directly impact patient care; and (2) alleviate healthcare workforce shortages by creating sustainable employment and training programs in healthcare occupations (including behavioral and mental healthcare) serving rural populations.<sup>7</sup>

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programmatic, clinical, and financial performance and operations, including developing strategies to recruit and retain staff. *PCAs were established to create economies of scale for health centers, maximize the federal Section 330 investments in states, assess and monitor the policy and regulatory environments, and assist health centers in adapting to changing demands from an evolving healthcare environment. PCAs facilitate collaboration between health centers and governors, Medicaid Directors and state health departments to educate them on the health center program and its value to patients, and to work with health centers on the best approaches to meet the needs of their constituents.*

<sup>5</sup>A map indicating the states which have State Apprenticeship Agencies is located at <https://www.doleta.gov/OA/contactlist.cfm>.

<sup>6</sup> <https://www.ruralhealthinfo.org/topics/health-care-workforce#workforce>.

<sup>7</sup> For the purposes of this grant program, rural populations are those that (1) meet the criteria defined by HRSA's FORHP at <https://www.hrsa.gov/rural-health/about-us/definition/index.html>; or (2) any federally recognized Indian tribe.

Prior to the COVID-19 crisis, the U.S. had approximately 6.8 million job openings, many of which required skilled labor. Research suggests that the U.S. does not only have a shortage of healthcare workers, it has a shortage of skilled workers for the jobs that are available.<sup>8</sup> Based on the most recently available data (FY 2020), the U.S. issued 7,515 H-1B visas for healthcare-related jobs. Additionally, the U.S. population and workforce are aging, and this will affect future demand for healthcare workers over the next decade.<sup>9</sup> The Bureau of Labor Statistics published the top ten fastest growing occupations for the 2018-28 decade, and six of those occupations were healthcare-related.<sup>10</sup>

The need for healthcare workers has intensified with the current COVID-19 crisis. Expanding employment and training models for the healthcare industry will help individuals gain the skills necessary to fill these vacancies and allow employers to find skilled workers more readily. In light of the COVID-19 pandemic, proposed training models should consider whether it is necessary and feasible to offer educational instruction and/or work-based learning in a virtual or socially-distanced learning environment. Online and technology-enabled (including hybrid, or a blend of online and classroom instruction) learning strategies may provide adults an opportunity to balance the competing demands of work and family while acquiring new knowledge and skills at a time, place, and/or pace that are convenient for them. The Department encourages applicants to incorporate new and emergent technologies, such as interactive simulations, personalized and virtual instruction, educational gaming, or digital tutors, into the educational component of their training design. However, applicants should consider whether any training components require in-person instruction.

A central goal of this grant program is to increase the number of workers in rural healthcare occupations. Given the number of displaced and unemployed workers in the aftermath of the COVID-19 health crisis, applicants are encouraged to design their grant programs to assist unemployed individuals seeking entry or reentry into the workforce and underemployed workers in need of new skills and full-time employment opportunities. Applicants may serve incumbent workers who need to increase their skills to remain competitive and advance along a career ladder, and are encouraged to backfill those positions with unemployed and underemployed individuals.

Within these three groups of eligible participants that may be served through the grant (unemployed, underemployed, or incumbent workers), applicants may design programs to address the needs of particular populations. Applicants may describe populations, such as veterans, military spouses, transitioning service members, and underrepresented populations, including women, people of color, and ex-offenders, individuals with disabilities, and other

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<sup>8</sup> <https://www.shrm.org/hr-today/trends-and-forecasting/research-and-surveys/Documents/SHRM%20Skills%20Gap%202019.pdf>.

<sup>9</sup> <https://www.shrm.org/hr-today/trends-and-forecasting/research-and-surveys/Documents/Preparing-for-an-Aging-Workforce-Gap-Analysis-Research.pdf>.

<sup>10</sup> <https://www.bls.gov/news.release/pdf/ecopro.pdf>.

populations with employment barriers that hinder movement into middle- to high-skilled H-1B healthcare occupations.

Applicants are required to track and report participant-level characteristics and data on the proposed outcomes and outputs that the project will achieve during the period of performance. Outcomes are measurable characteristics that directly result from the implementation of specific project design activities. Outputs are tangible products or services that result from the project. In addition, the Department requires H-1B grants to align with and report on the six WIOA primary indicators of performance, as set forth in WIOA Section 116(b)(2).<sup>11</sup> More detail on performance reporting expectations can be found in Section IV.B.3.

While these projects address critical needs for an economic region, they are small investments in the context of the larger workforce development system. Therefore, the Department is requiring grantees to align these efforts with other workforce development activities occurring in the state. This alignment is important to sustaining training beyond the grant period of performance. Successful applicants will leverage the public workforce development system's demonstrated experience in improving workers' employment-related skills and their involvement in initiatives to help address workers' barriers to employment. This includes evidence that state or local WDBs are involved in the development and implementation of the grant project, ranging from leveraging state or local systems for data tracking and reporting, leveraging expertise and braiding funds and other in-kind resources. Applications also will be evaluated on the extent to which they have leveraged resources to support these activities. The Department encourages applicants to generate at least 15 percent of the total requested amount of the grant as leveraged funds to support the grant project.

## **B. PROGRAM AUTHORITY**

The H-1B Rural Healthcare Grant Program is authorized under Section 414(c) of the American Competitiveness and Workforce Improvement Act of 1998 (ACWIA), as amended (codified at 29 U.S.C. 3224a). These grants are financed by a user fee paid by employers to bring foreign workers into the United States under the H-1B nonimmigrant visa program.

## **C. TARGET INDUSTRIES**

The H-1B Rural Healthcare Grant Program will fund projects that expand healthcare occupations in rural areas by providing employment and training opportunities that lead to well-paying, middle- and high-skilled jobs. While program participants will have varying levels of skills upon enrollment in training programs, applicants must design grant programs to help participants

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<sup>11</sup> TEGL No.14-18, *Aligning Performance Accountability Reporting, Definitions, and Policies Across Workforce Employment and Training Programs Administered by the U.S. Department of Labor (DOL)*, March 25, 2019.



access a viable healthcare career pathway through education and training that results in employment in middle- and high-skilled jobs.

- This grant program is designed to support healthcare programs that focus on direct patient care; therefore, occupations such as healthcare-related Information Technology (IT) training will not be allowable under this FOA.
- Applicants must address the healthcare occupations specified in this FOA, and/or adequately demonstrate in-demand healthcare occupation(s) in the service area proposed through labor market information and/or other supporting documentation (See Appendix A).

Applicants must design their programs to serve rural areas at the local/regional or statewide level with healthcare training (including training in behavioral and mental healthcare occupations). See Geographic Scope Section I.D. for the definition of rural populations.

The healthcare industry sector is one of the top ten industries that are using H-1B visas to hire foreign workers.<sup>12</sup> Applicants may choose to expand training programs in healthcare occupations that affect direct patient care in rural areas along a career pathway to middle- to high-skilled jobs. Applicants may propose to serve a specific occupation or multiple healthcare occupations within the healthcare industry.

Applicants will not receive points in the scoring criteria if the application does not clearly identify they are training for a healthcare occupation(s) that affects direct patient care. Applicants must provide sufficient evidence of need in the area served by the grant, such as proposing to serve Health Professional Shortage Areas (HPSAs).<sup>13</sup>

A list of H-1B healthcare occupations that are acceptable is provided in Appendix A. Applicants may also choose to target specific H-1B occupation(s) even if that occupation is not in one of the identified H-1B occupations listed in Appendix A. If the occupation is not listed in Appendix A, the application must provide data showing that the H-1B occupation is focused on direct patient care and is one for which a significant number of H-1B visas have been certified. Applicants must use verifiable data to make this demonstration, such as data provided by DOL's Foreign Labor Certification Data Center. Applicants may propose to serve more than one H-1B occupation.

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<sup>12</sup> Office of Foreign Labor Certification, *Labor Conditions Application Specialty Occupations Labor Condition Program Industries Profile - FY 2020*, March 31, 2020.

<sup>13</sup> High-need and high-demand areas are identified as sites located within Health Professional Shortage Areas (HPSAs). Information about Health Professional Shortage Areas (HPSAs) can be found at <https://bhw.hrsa.gov/shortage-designation/hpsas>.

## **D. GEOGRAPHIC SCOPE**

Applicants must identify the geographic scope of the proposed project. Applicants can propose to serve rural areas at the local/regional or statewide level with healthcare training (including behavioral and mental healthcare occupations).

- For the purposes of this grant program, rural populations are those that: (1) meet the criteria defined by the HRSA's FORHP at <https://www.hrsa.gov/rural-health/about-us/definition/index.html>; or (2) any federally recognized Indian tribe.
  - **Local/regional** means serving a rural part of one state or a contiguous area that includes multiple rural sites in an economic region that do not cross state boundaries.
  - **Statewide** means serving an entire state or multiple non-contiguous sites within one state. A statewide approach must encompass and emphasize services to rural areas.

## **E. PROGRAM ACTIVITIES/ALLOWABLE ACTIVITIES**

The grant program also allows applicants to design or customize training models that meet the needs of healthcare employers and training participants in rural areas. Applicants must design workforce development strategies that support:

- Engaging healthcare providers and employers in the adoption and deployment of employment and training services to address specific healthcare needs in rural areas;
- Establishing new or expanding existing career pathways in the healthcare sector that focus on the skills, competencies, and credentials needed for middle to high-skilled direct patient healthcare occupations;
- Offering high quality training options (such as work-based learning training models) to prepare individuals to successfully move into middle- to high-skilled employment in healthcare occupations;
- Creating an infrastructure to successfully sustain the program components after the life of the grant;
- Providing supportive services to participants necessary to ensure they are able to participate fully in employment and training activities; and
- Identifying an existing system through the partnership with the local workforce development board or other WIOA partners for the purpose of collecting and reviewing program data, and monitoring results to assess program performance.

### **1. Training and Education Services**

Projects funded under this FOA will provide a range of training and education services that lead to middle- and high-skilled jobs in healthcare occupations. These services include assessment, coaching and counseling, and occupational skills training models that lead to recognized

postsecondary credentials.<sup>14</sup> This may include robust, comprehensive, and customized work-based learning strategies such as On-the-Job Training (OJT); customized training for cohorts; Incumbent Worker Training; Registered Apprenticeship Programs; Industry-Recognized Apprenticeship Programs; pre-apprenticeship programs that lead to grant-funded apprenticeship programs; and paid work and paid internships, classroom training, and technology-based training strategies. All projects will incorporate a strong up-front assessment component that allows for a customization of services and training to meet the needs of the program participants to get a job, retain their employment, or advance to a new position in healthcare occupations.

Applicants may propose these strategies or a combination of these strategies to meet the needs of employers and jobs seekers, and allow flexibility for program delivery. The Department encourages co-enrolling participants into WIOA Title I programs, where appropriate, to leverage training costs. The intent of co-enrollment is to meet the training and employment needs of program participants by leveraging the resources and services available through other funding sources.

#### **a. On-the-Job Training (OJT)**

OJT can bridge the divide between unemployment and employment by addressing the gap between an individual's skills and the requirements for a particular occupation. Individuals who participated in OJT in the past have demonstrated improved labor market attachment and enhanced job tenure, as illustrated by higher rates of job placement and retention. OJT also offers participants a "learn and earn" training option, allowing individuals to learn new skills while earning a regular paycheck. OJT differs from other types of workplace training, including customized training, in several ways:

- Participants are hired by an employer and earn wages during training;
- OJT is based on an individualized training plan that reflects the results of an individual skills assessment and analysis of job requirements;
- Training is conducted in the workplace under the direction of one or more of the employer's supervisory personnel; and
- The grantee pays the employer a reimbursement to cover the extraordinary costs of the training.

OJT has specific requirements explained in Section IV.E. Funding Restrictions. Incumbent workers are not eligible to participate in OJT.

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<sup>14</sup> See Training and Employment Guidance Letter (TEGL) No. 14-18, *Aligning Performance Accountability Reporting, Definitions, and Policies Across Workforce Employment and Training Programs Administered by the U.S. Department of Labor (DOL)*, March 25, 2019 and Training Employment Notice (TEN) No. 25-19 *Understanding Postsecondary Credentials in the Public Workforce System*, June 8, 2020 for information on recognized postsecondary credentials.

#### **b. Customized Training**

Cohort-based customized training is designed to meet the specific requirements of an employer or group of employers with the commitment that the employer(s) hire an individual upon successful completion of the training. Applicants that propose a customized training model must work with Local WDBs and American Jobs Centers to co-enroll grant participants and negotiate and arrange for participants to receive individual training accounts to pay for cohort or customized training. The employer must pay for a portion of the cost of training, as determined by the Local WDB, taking into account the size of the employer and other factors the Local WDB determines are appropriate, which may include the number of employees participating in training, wage and benefit levels of those employees (at present and anticipated upon completion of the training), relation of the training to the competitiveness of a participant, and other employer-provided training and advancement opportunities.

#### **c. Incumbent Worker Training**

Incumbent Worker Training is allowable to meet the needs of employers and individuals who are employed but need training to upgrade their skills to secure full-time employment, increase their skills to remain competitive, and advance in their careers, or retain their current occupations in H-1B occupations and industries. The training provided to incumbent workers is developed in collaboration with the employer for which an individual is employed when they are determined eligible to participate in the grant. As such, we encourage you to work with employer partners to develop plans to create career pathways in middle- and high-skill jobs to move existing healthcare workers into higher-skill occupations. The training provided to incumbent workers is developed with an employer or employer association.

#### **d. Registered Apprenticeship Programs, Industry Recognized Apprenticeship Programs, and Pre-Apprenticeship Programs**

**Registered Apprenticeship Programs (RAP):** RAPs (29 CFR Part 29, Subpart A, and 29 CFR Part 30) combine an educational or instructional component with a paid work-based learning component. RAPs are registered through the DOL's Office of Apprenticeship or a DOL recognized State Apprenticeship Agency. Registered apprentices are paid employees and receive progressive wage increases commensurate with their skill attainment throughout the training program. Registered apprentices have a 1:1 ratio with a mentor throughout their on-the-job learning. Upon successful completion of all phases of work-based learning and related-instruction components, registered apprentices receive nationally recognized certificates of completion leading to long-term career opportunities. For more information on RAPs, please visit [www.apprenticeship.gov](http://www.apprenticeship.gov).

**Industry-Recognized Apprenticeship Programs (IRAP):** IRAPs (29 CFR Part 29, Subpart B) are high-quality apprenticeship programs that provide individuals with opportunities to obtain workplace relevant knowledge and progressively advancing skills.

IRAPs are recognized through a Standards Recognition Entity (SRE). IRAPs include a paid work component and an educational or instructional component, and result in an industry-recognized credential. IRAPs are developed or delivered by entities such as trade and industry groups, corporations, nonprofit organizations, educational institutions, unions, and joint labor-management organizations. For more information on IRAPs, please visit <https://www.apprenticeship.gov/industry-recognized-apprenticeship-program>.

**Pre-apprenticeship Programs:** A pre-apprenticeship program is defined as a set of strategies designed to prepare individuals for entry into an apprenticeship.<sup>15</sup> Pre-apprenticeship programs differ from internships, job shadowing, externships, and co-ops that also offer individuals an opportunity to experience firsthand a profession or practice, but do not always engage in “real world” experiential learning. For the purposes of this FOA, pre-apprenticeship programs funded through this grant are only allowable when participants advance into an apprenticeship program(s) as proposed in the application.

**e. Other Work-Based Learning Activities: Paid Work Experience and Paid Internships**

**Paid work experience** is defined as a planned and structured learning experience that takes place in a workplace for a limited period of time. For the purposes of this FOA, work experiences are required to be paid work experiences. The specific requirements of these paid work experiences are detailed in Section IV.E. Funding Restrictions. Incumbent workers are not eligible to participate in paid work experience.

**Paid internships** provide a monitored or supervised work or service experience in an individual’s career field where he or she has intentional learning goals and reflects actively on what is learned throughout the experience. These learning goals can include academic learning, career development, and skill development. Internships are considered part of a structured program where the grantee establishes the criteria for determining who will participate in these programs; set for a period of time that is generally limited in duration, but may be flexible to allow interns to spend limited time in the classroom; support the attainment of credentials in the individual’s expected career field (where such credentials exist); relate to training provided through the grant and help participants prepare for employment opportunities on which the grant focuses; and, not necessarily carrying an offer of regular employment upon successful completion of the internship.

For the purposes of this FOA, internships are required to be paid internships. Under this FOA, paid internships have specific requirements, which are detailed in Section IV.E. Funding Restrictions. Incumbent workers are not eligible to participate in paid internships.

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<sup>15</sup> *Describing a Quality Pre-Apprenticeship and Related Tools and Resources* Training and Employment Notice No. 13-12, available at [https://wdr.doleta.gov/directives/attach/TEN/TEN\\_13-12.pdf](https://wdr.doleta.gov/directives/attach/TEN/TEN_13-12.pdf).

#### **f. Classroom, Competency-Based, and Online Accelerated Training Strategies**

In addition to the types of work-based training previously listed, a variety of other types of training strategies may include, but are not limited to, classroom occupational training that is accelerated and competency-based, distance learning, and technology-based learning or simulation training. Simulation training links the classroom learning with real-life clinical experience. Accelerated and competency-based training strategies can rapidly train participants efficiently and effectively for employment. They can include competency-based programs that give participants credit for skills they have already developed and allow participants to move through coursework based on mastery of skills or online programs that prepare individuals for jobs in middle- to high-skill jobs in H-1B industries and occupations.

#### **g. Supportive Service Strategies**

Up to 10 percent of grant funds may be used to provide supportive services for training participants. Supportive services are those necessary to enable an individual to participate in education and training activities funded through this grant program. Examples of such services include but are not limited to transportation, childcare, dependent care, housing, and needs-related payments. Grantees may fund supportive services through various means, including providing the actual supportive service (e.g., childcare), providing participants with a voucher for the service (e.g., public transportation cards or tokens), or providing a stipend directly to the participant. See Section IV.E.5. Use of Funds for Supportive Services.

#### **h. Other Activities**

A wide range of activities may assist applicants in their efforts to establish new training models, expand existing programs, and offer employment and training services. Accordingly, applicants may propose to use grant funds to undertake additional activities designed to create an environment for employment and training opportunities, including, but not limited to, those listed in this section.

The Department wishes to ensure that individuals, employers, educators and training providers have access to the most complete, current and beneficial information about providers, programs credentials and competencies supported with these public, federal funds. To this end, the Department requires that information about all credentials (including but not limited to diplomas, badges, certificates, certifications, apprenticeships, licenses, and degrees of all levels and types) and competencies (knowledge, skills and abilities) developed or delivered through the use of these public federal funds be made publicly accessible through the use of linked open data formats that support full transparency and interoperability, such as through the use of credential transparency description language specifications. ETA will provide specific guidance and technical assistance on data elements to include in the published open data, such as information about the credential provider, the credential and its associated competencies, delivery mode, geographic coverage, the industry sector(s) and occupation(s) for which the credential was

developed, related assessments, related accreditations or other quality assurances where appropriate, costs, and available outcomes.

## **II. AWARD INFORMATION**

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### **A. AWARD TYPE AND AMOUNT**

Funding will be provided in the form of a grant. We expect availability of approximately \$40 million to fund approximately 15-40 grants ranging from \$500,000 to \$2,500,000 based on the scope of the project. 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.

Applicants must propose to train a specific number of participants based on the size of the award requested and geographic area considerations, such as the population of the proposed service area or the number of healthcare employers in the service area.

### **B. PERIOD OF PERFORMANCE**

The period of performance is 48 months with an anticipated start date of January 15, 2021. This performance period includes all necessary implementation and start-up activities. These activities include promoting rural healthcare programs within the targeted service area, developing or expanding training activities for individuals, providing training to participants, and undertaking follow-up for tracking and reporting performance outcomes. We expect that hiring appropriate grant project personnel and undertaking start-up activities will begin immediately and that grantees will begin enrolling participants no later than nine months after the date of grant award. We strongly encourage applicants to develop their project work plans and timelines accordingly. Grantees must plan to expend all of grant funds by the end of the period of performance.

## **III. ELIGIBILITY INFORMATION**

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### **A. ELIGIBLE APPLICANTS**

In keeping with the authority provided by Congress under ACWIA, grants under this program will be awarded to a partnership of public and private sector entities. Grants will be awarded to the lead applicant, which will serve as the grantee and have overall fiscal and administrative responsibility for the grant.

#### **Eligible Lead Applicant Entities**

This funding opportunity is open to all eligible applicants as identified below. The following organizations are eligible to apply as a lead applicant:

Eligible grant leads will include:

- Healthcare employers, and healthcare industry and/or occupation associations;
- Nonprofit healthcare organizations affiliated with hospitals and other medical facilities;
- Organizations designated as “Primary Care Associations” by Health Resources and Service Administration (HRSA);<sup>16</sup>
- Workforce Innovation and Opportunity Act (WIOA) State and Local WDBs, under Sections 101 and 107 of WIOA (29 U.S.C. 3111 and 3122); Indian/Native American Tribal Government (federally recognized); and
- Native American Program entities eligible for funding under Section 166 of WIOA (29 U.S.C. 3221).

Lead applicants must identify their institution type in Section 9 of the SF-424 Application for Federal Assistance.

Please note that all elements of 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) apply to any entity that carries out a federal award as a recipient or subrecipient, including for-profit organizations. This includes the monitoring and the examination of their records. **In addition, the entity may not earn or keep any profit resulting from federal financial assistance.**

In the required Abstract (see Section IV.B.4. Attachments to the Project Narrative), you must clearly identify the lead applicant and each member of the Rural Healthcare Partnership.

The lead applicant will serve as the grantee, must be the organization specified in Section 8 of the SF-424 Application Form, and will be: (1) the point of contact with the Department to receive and respond to all inquiries or communications under this FOA and any subsequent grant award; (2) the entity with authority to withdraw or draw down funds through the Department of Health and Human Services - Payment Management System (HHS-PMS); (3) the entity responsible for submitting to the Department all deliverables under the grant, including all technical and financial reports related to the project, regardless of which partnership member performed the work; (4) the entity that may request or agree to a revision or amendment of the

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<sup>16</sup> PCAs are state or regional nonprofit organizations that provide training and technical assistance to health centers and their communities. Assistance is based on statewide and regional needs to help health centers improve programmatic, clinical, and financial performance and operations, including developing strategies to recruit and retain staff. *PCAs were established to create economies of scale for health centers, maximize the federal Section 330 investments in states, assess and monitor the policy and regulatory environments, and assist health centers in adapting to changing demands from an evolving healthcare environment. PCAs facilitate collaboration between health centers and governors, Medicaid Directors and state health departments to educate them on the health center program and its value to patients, and to work with health centers on the best approaches to meet the needs of their constituents.*



grant agreement or statement of work; (5) the entity with overall responsibility for carrying out the programmatic functions of the grant, as well as for the stewardship of all expenditures under the grant; (6) the entity responsible for coordinating with the national evaluator, including participating in an evaluation and other studies, if selected by DOL; and (7) the entity responsible for working with DOL to close out the grant.

## **H-1B Rural Healthcare Grant Partnership**

Grants under this program will be awarded to partnerships of public and private sector entities. The applicant must identify and include the required partners listed below, which represents both public and private partner institutions. Those organizations collectively form the “H-1B rural healthcare grant partnership,” and demonstrate strong engagement of the required partners necessary to meet grant goals. Additionally, applicants should consider including additional optional partners that support the goals of the Rural Healthcare Partnership.

### ***a) Required Partners***

To demonstrate the active involvement of the required Rural Healthcare Partnership entities, applicants must provide signed documentation of commitments—such as signed memoranda of understanding, a partnership agreement, or other types of signed agreements—that demonstrates the commitment of each type of entity listed below.

Applicants will be scored based on the inclusion of this documentation, as well as the level and quality of involvement in the project as described in Section IV.B.3.c.1. H-1B Rural Healthcare Grant Partnership. Required partners in the Rural Healthcare Partnership include:

#### **1. Employer Partners**

A minimum of two (2) employer partners who are committed to hiring individuals trained through the grant; or an industry/trade association or other business association, such as a Chamber of Commerce, that represents at least two (2) employers who are committed to hiring individuals trained through the grant.

#### **2. Education and Training Providers**

One or more public or nonprofit education and training providers, including institutions of higher education as defined in Section 101(a) of the Higher Education Act of 1965 (20 U.S.C. 1001), community and technical colleges and systems; joint labor-management training partnerships; nonprofit and community-based organizations that offer job training, including those organizations that have been approved as WIOA Eligible Training Providers.

#### **3. For applicants proposing to provide Registered Apprenticeship Programs (RAPs) or Industry-Recognized Apprenticeship Programs (IRAPs) in service areas whose states are federally**

recognized **State Apprenticeship Agencies (SAAs)**,<sup>17</sup> the SAA must be included as a partner; and

4. **Entities involved in administering the workforce development system** established under WIOA, including State and Local WDBs and Native American Program entities eligible for funding under WIOA.

***b) Optional Partners***

While the required partner(s) reflect the scope and reach of the project, we strongly encourage applicants to collaborate with other partners that can support and advance the work of the Rural Healthcare Partnership. These include additional trade and industry groups; organizations functioning as workforce and industry intermediaries (including entities such as labor-management organizations, community-based organizations, and industry associations, which help broker local, regional, and national workforce solutions); nonprofit organizations specializing in serving rural populations or populations with mental and behavioral health needs; state agencies with the responsibility for public health (including behavioral and mental healthcare and addiction services); other organizations to support outreach and training activities, such as American Job Center operators; community organizations that provide social support and/or wrap-around services; foundations and philanthropic organizations; and other federally funded programs, such as the Supplemental Nutrition Assistance Program (SNAP), Temporary Assistance for Needy Families (TANF), and other WIOA Title II Adult Education programs. Applicants that are proposing to develop new rural healthcare programs are strongly encouraged to partner with professional associations, industry groups, and academic institutions that can support employment and training activities through the grant and provide quality assurance.

**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.

The Department encourages applicants to generate at least 15 percent of the total requested amount of the grant award as leveraged funds to supplement grant activities. Applicants may count and document as leveraged resources any cash or in-kind commitments. Leveraged resources can come from a variety of sources, including, but not limited to: the private sector (e.g., businesses or industry associations); the investor community (e.g., angel networks or economic development entities); the philanthropic community (e.g., foundations); and the non-

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<sup>17</sup> A map indicating the states who have State Apprenticeship Agencies is located at <https://www.doleta.gov/OA/contactlist.cfm>.

profit sector (e.g., community organizations, faith-based organizations, or education and training institutions).

### **Reporting Leveraged Resources**

DOL grantees must track and report leveraged resources quarterly on the ETA Form 9130. The ETA Form 9130 may be found at [http://www.doleta.gov/grants/financial\\_reporting.cfm](http://www.doleta.gov/grants/financial_reporting.cfm).

## **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.

<b>Application Requirement</b>	<b>Instructions</b>	<b>Complete?</b>
The deadline submission requirements are met	Section IV.C	
Eligibility	Section III.A	
If submitted through Grants.gov, 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 Federal funds request is within the grant award range of \$500,000 to \$2.5 million	Section II.A	
SAM Registration	Section IV.B.1	
SF-424, Application for Federal Assistance	Section IV.B.1	
SF-424 includes a DUNS 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	
Provision of Rural Healthcare Training that Focus on <b>Direct Patient Care</b>	Appendix A or Documentation supporting Verifiable Data	

## **2. Number of Applications Applicants May Submit**

We will consider only one application from each organization serving as the lead applicant. If we receive multiple applications from the same organization serving as the lead applicant, 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**

### **a) Participants Eligible to Receive Training**

The intent of this FOA is to fund projects that provide employment and training services to individuals that will gain the skills and competencies required to enter middle- and high-skilled jobs along a career pathway in healthcare occupations. This program will train individuals whose employment status when determined eligible for the program is unemployed, underemployed, or an incumbent worker.

All participants must be 17 years of age or older and not currently enrolled in secondary school within a local educational agency. Training must result in advancement of an individual's skills along a career pathway into middle- and high-skilled healthcare occupations.

Among the individuals eligible to receive training, those of particular interest include veterans, military spouses, transitioning service members, and underrepresented populations including women, people of color, ex-offenders, individuals with disabilities, and other populations with employment barriers that hinder movement into middle-to high-skilled H-1B healthcare occupations. Applicants are also strongly encouraged to include individuals who are not traditionally represented in the proposed healthcare occupations.

To facilitate the inclusion of lower skilled and disadvantaged workers, applicants may serve individuals who are lower skilled, without the necessary skills and competencies to be in middle- and high-skilled jobs, as long as the program provides the skills necessary for individuals to enter a middle- to high-skilled job, or a job along a career pathway in a healthcare occupations upon completion of the program. The employment and training program must include components that will assist those who do not have particular educational prerequisites and/or experience.

For the purposes of this FOA, the following definitions apply:

- 1) **Unemployed workers:** An unemployed worker is an individual who is without a job and is available to work.
- 2) **Underemployed workers:** This term refers to individuals who are not currently connected to a full-time job commensurate with the individual's level of education, skills, or wage and/or salary earned previously, or who have obtained only episodic, short-term, or part-time employment.

- 3) **Incumbent workers:** This term refers to individuals who are employed but need training to upgrade their skills to secure full-time employment, increase their skills to remain competitive and advance in their careers, or retain their current occupations in H-1B occupations and industries. This definition includes newly hired workers and workers whose hours have been reduced and/or earnings have declined. The training provided to incumbent workers is developed in collaboration with the employer for which an individual is employed when they are determined eligible to participate in the grant. Applicants are encouraged to backfill the open positions that result from incumbent worker training with unemployed and underemployed individuals.

**b) Veterans' Priority for Participants**

38 U.S.C. 4215 requires grantees to provide priority of service to veterans and spouses of certain veterans for the receipt of employment, training, and placement services in any job training program directly funded, in whole or in part, by DOL. The regulations implementing this priority of service are at 20 CFR Part 1010. In circumstances where a grant recipient must choose between two qualified candidates for a service, one of whom is a veteran or eligible spouse, the veterans' priority of service provisions require that the grant recipient give the veteran or eligible spouse priority of service by first providing him or her that service. To obtain priority of service, a veteran or spouse must meet the program's eligibility requirements. Grantees must comply with DOL guidance on veterans' priority. ETA's Training and Employment Guidance Letter (TEGL) No. 10-09 (issued November 10, 2009) provides guidance on implementing priority of service for veterans and eligible spouses in all qualified job training programs funded in whole or in part by DOL. TEGL No. 10-09 is available at [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2816](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2816).

#### **IV. APPLICATION AND SUBMISSION INFORMATION**

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**A. HOW TO OBTAIN AN APPLICATION PACKAGE**

This FOA, found at [www.Grants.gov](http://www.Grants.gov) and [https://www.doleta.gov/grants/find\\_grants.cfm](https://www.doleta.gov/grants/find_grants.cfm), 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 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 DUNS Number**

All applicants for federal grant and funding opportunities must have a DUNS number, and must supply their DUNS Number on the SF-424. The DUNS Number is a nine-digit identification number that uniquely identifies business entities. If you do not have a DUNS Number, you can get one for free through the D&B website: <https://fedgov.dnb.com/webform/displayHomePage.do>.

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

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

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

## **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. Applicants are encouraged to leverage resources to increase stakeholder investment in the project and broaden the impact of the project itself.

Each category should include the total cost for the period of performance. Use the following guidance for preparing the Budget Narrative.

**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 200.33 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 categories of supplies (e.g., office supplies) in the detailed budget and list the item, quantity, and the unit cost per item. Supplies include all tangible personal property other than “equipment” (see 2 CFR 200.94 for the definition of Supplies).

**Contractual:** Under the Contractual line item, delineate contracts and subawards separately. Contracts are defined according to 2 CFR 200.22 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 200.92, 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, 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 has never received a Negotiated Indirect Cost Rate Agreement (NICRA), and your organization is not one 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 200.68 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. See the definitions below to assist you in your calculation.

- **2 CFR 200.68 Modified Total Direct Cost (MTDC)** means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards 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 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.

The definition of MTDC in 2 CFR 200.68 no longer allows for any sub-contracts to be included in the calculation. You will also note that participant support costs are not included in modified total direct cost. Participant support costs are defined below.

- **2 CFR 200.75 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/business-operations-center/cost-determination>.

Note that the SF-424, SF-424A, and Budget Narrative must include the entire federal grant amount requested (not just one year).

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, ETA 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. **Applicants should substantiate effectiveness of approach with past performance, not necessarily under a federal grant, but success in serving targeted populations. Past performance should be addressed in all applicable sections, services, and activities below.**

The Project Narrative is limited to 25 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 (10 Points)**

Scoring under this criterion will be based on the extent to which the discussion of the following factors is clear, logical, and an accurate interpretation of labor market data. All data sources must include citations that provide information that enables the identification and verification of data.

##### **1) Area Need (2 Points)**

- i. Detailed explanation of the rationale for the proposed geographic scope of the project. Applicants must provide sufficient evidence of need in rural service areas, such as proposing to serve Health Professional Shortage Areas (HPSAs). (2 points)

## **2) Industry and Employer Demand (6 Points)**

- i. Clear identification and complete explanation of the H-1B occupation(s) targeted by the proposed project. Applicants will not receive points in the scoring criteria for this indicator if (1) the application does not clearly identify an occupation identified listed in Appendix A, or (2) applicants propose any healthcare occupation(s) not listed in Appendix A. The application must provide data showing that the healthcare occupation focuses on direct patient care and is one for which a significant number of H-1B visas have been certified. Applicants must use verifiable data to make this demonstration, such as data provided by DOL's Foreign Labor Certification Data Center; (2 points) and
- ii. Detailed and convincingly supported description of the current and future projected demand for employment in the selected healthcare occupation(s), including how the demand coincides with the project. Applicants must cite the source for the projected demand, such as Bureau of Labor Statistics or other DOL sources, state workforce agency sources, employers, or other labor market information provided by employers or other reliable/credible knowledgeable parties. Applicants must provide strong evidence with citations that identifies the average current wages offered for the selected occupation(s) based on state or local data. To the extent possible, data should reflect the proposed geographic scope. (4 points)

## **3) Populations Served (2 Points)**

- i. Clear statement and plausible plan for how the project will increase access to healthcare occupations in rural areas for individuals who are unemployed and underemployed individuals. To receive the full points for this criterion, applicants must demonstrate that they will predominantly serve unemployed and underemployed individuals. (2 points)

## **b) Expected Outcomes and Outputs (26 Points)**

Applicants must clearly identify outcomes and outputs that the project will achieve as a direct result of the proposed project. Outcomes are measurable characteristics that directly result from the implementation of specific project design activities. Outputs are tangible products or services that result from the project.

Applicants must provide a table that clearly identifies the outcomes and the outputs (listed below) that will result from their project. This table will include annual target outcomes that will be used for the purposes of technical assistance. In addition, applicants must describe a

clear, realistic (plausible) plan in a narrative format for how these outcomes and outputs align with their project goals.

The performance table must be submitted as a separate attachment and does not count against the page limit of the Project Narrative (see Section IV.B.4. Attachments to the Project Narrative, as well as Appendix D. Suggested Performance Outcome Measures Table).

**1) Rural Healthcare Training and Employment Performance Outcomes (20 Points)**

- i. **H-1B Performance Outcome Measures.** Applicants must include comprehensive numerical outcome projections for each of the five outcome measures identified below and defined in Appendix D. Applicants must provide raw numbers for each of the target outcome measures; otherwise, they will not receive full points. Percentages, percent increases, or other types of data projections are not acceptable. (6 points)

- 1) **Total participants enrolled in education/training activities;**
- 2) **Total participants who complete education/training activities;**
- 3) **Total participants who complete education/training activities and receive a degree, or other type of credential;**
- 4) **Total number of unemployed and underemployed participants who complete education/training activities and obtain employment; and**
- 5) **Total number of incumbent worker participants who complete training activities and advance into a new position.**

The targets must be provided for each year of the grant, as well as for the total grant period. Applicants must present their information in a performance outcomes table (see Appendix D for a sample format) to be included as an attachment to the Project Narrative. *Note that this table also includes total participants served to provide a basis for assessing scale, but this data point is not treated as an outcome measure for the grant program.*

Applicants will also provide outcome targets for two key WIOA outcomes “Employment Rate – 2nd Quarter After Exit” and “Employment Rate – 4th Quarter After Exit.” These will be four-year targets for the grant period. (See Appendix D.)

- ii. Comprehensive description of an effective outreach, recruitment, and enrollment strategy for engaging the target population(s), to recruit the requisite number of participants in rural areas. This description must include clear identification of partner organizations identified in Section III.A. H-1B Rural Healthcare Grant Partnership, including WIOA Business Service Teams, Chambers of Commerce, and economic development organizations, that will support this effort, and the process to ensure collaboration between the applicant, applicant’s outreach partners, and other relevant

partners in these activities. This must include a thorough description of the assessment process that will be used to determine if individuals are an appropriate fit for the instruction/training program; (2 points)

- iii. Thorough description of how the proposed skills instruction/training activities for the program will meet the needs of employers in rural areas and support the achievement of the proposed training outcomes (listed above) and will lead to employment in middle- to high-skilled jobs, or are on a career pathway to middle- to high-skilled jobs; (4 points)
- iv. Clear and convincing demonstration that participants will achieve the necessary recognized postsecondary credential(s), including degree(s), to qualify for placement into middle- to high-skilled jobs upon completion of the grant program; (4 points) and
- v. Thorough and convincing description of how the proposed skills instruction/training activities of the program are appropriate for the target populations to be served, as described in Section III.C.3. Eligible Participants, and how the strategies will address skills, training gaps, and other needs of participants identified in the Statement of Need. (4 points)

## **2) Feasibility of Proposed Outcomes (6 Points)**

- i. A thorough explanation of how the outcome projections for the program are feasible and appropriate numerical targets for the project design—specifically, detailing how the targets were derived and how the targets fit into the overall timeline of grant implementation; (4 points) and
- ii. An explanation of how the applicant plans to sustain the training models developed and expanded through this grant program after the grant lifecycle. (2 points)

## **c) Project Design (24 Points)**

Scoring under this criterion is based on a clear and complete identification of the proposed methods that the project will use to address the stated outcomes and outputs. Applicants must outline a plan of action that reflects evidence of effective employment and training models, and describes the scope and detail of how the project will accomplish the proposed work. It must include timelines for completion of work, account for all functions or activities identified in the application, cite factors that might accelerate or decelerate the work and state the reason for taking the proposed approach rather than other approaches, and identify any potential barriers and describe how the project will be able to overcome those barriers.

### **1) H-1B Rural Healthcare Grant Partnership (12 Points)**

Scoring under this criterion is based on how the Rural Healthcare Partnership will directly engage employers within the healthcare industry to design training opportunities that align with and respond to employer hiring needs and career advancement opportunities, including how other partners are involved in the project as proposed.

- i. Comprehensive description of the Rural Healthcare Partnership, including identifying all participating partners, particularly those required in the grant, describing their roles and thoroughly and convincingly explaining how each partner supports the overall partnership; (4 points)
- ii. Clear and convincing explanation and demonstration that the private sector partner(s) are engaged in the project and represent(s) a significant presence in the healthcare industry sector or focused on a specific occupation, including its specific role(s) in the activities proposed in Section IV.B.3. Project Narrative; (4 points) and
- iii. Documentation of the active roles of all required and optional partners identified in Section III.A. H-1B Rural Healthcare Grant Partnership. This includes a clear and thorough description of the capacity and role of all partners involved in expanding an existing program on a local/regional, or statewide scale, deploying new programs, and/or providing outreach and recruitment services, training activities, employment assistance, supportive services, and other relevant activities. Such documentation must be included in the form of attached partnership agreements, letters, or other documentation (as described in Sections IV.B.4. Attachments to the Project Narrative). Failure to provide documentation for each required partner and optional partners identified in Section III.A. H-1B Rural Healthcare Grant Partnership, and as listed on the Abstract will cause the applicant to receive zero points for this rating factor. (4 points)

### **2) Rural Healthcare Program Training Design (8 Points)**

Scoring under this criterion is based on how the activities in the proposed rural healthcare program will be implemented. This includes training activities, employment assistance, supportive services, and other relevant activities designed to assist individuals to participate and successfully complete grant training.

- i. Comprehensive narrative description that describes and convincingly demonstrates how the proposed program(s) will accomplish the goals and outcomes of the grant. For applicants proposing RAPs and IRAPs, the application should describe how the proposed program meets the minimum requirements of an apprenticeship program as discussed above and in Section I.A. Program Purpose, and as described in Section I.E.

Program Activities/Allowable Activities. These requirements include a paid work-based learning and mentorship component, an educational or instructional component, and recognized postsecondary credential(s) earned, including competency-based credentials; and policies and procedures for participant safety, supervision, and equal employment opportunity. The applicant must also describe how the program will demonstrate quality assurance; (2 points)

- ii. Detailed and convincing explanation of how existing curricula will be adjusted to meet the needs of employer partners; and whether educational or instructional components will lead to college credits; (2 points)
- iii. Clear description of the proposed supportive service strategy(ies) for participants identified in Section III.C.3. Eligible Participants, including a thorough description of the specific services, such as childcare, transportation, equipment, needs-based payments, career counseling services, conflict management counseling, financial literacy education, accommodations for individuals with disabilities, and other supportive services. The description must provide a clear plan detailing how these services will be effectively provided in rural areas, and must convincingly demonstrate how these services will support participants in successfully remaining in and completing grant training and obtaining employment in middle- and high-skilled jobs; (2 points) and
- iv. Clear description of how the proposed employment and training activities are aligned with regional or state efforts and/or connected to larger national initiatives. (2 points)

### **3) Project Work Plan (4 Points)**

Scoring under this criterion is based on a clear and complete identification of project goals, milestones, key activities, and key partners of the proposed rural healthcare program.

- i. Narrative description that clearly identifies the overall project goals and milestones for the project. The narrative description must demonstrate that milestones are reasonable based on the project design. To that end, the work plan must clearly describe short-term, mid-term, and long-term milestones that capture employment/training activities. The work plan must include all of the following: (2 points)
  - Project goals, which are the overarching achievements that will be pursued;
  - Milestones, which are key markers of grant progress; these are typically expressed in the form of an action or event marking a significant change or stage in development;

- Key activities, including timeframes for development or modification of programs, and/or participant enrollment in education and training; and
  - Key partner(s) identified for key activities.
- ii. Applicants must present the information described in their narrative in a work plan table format that provides an overview of activities, timelines, and key milestones. See Appendix E for an example. (2 points)

**d) Organizational, Administrative, and Fiscal Capacity (8 points)**

**1) Capacity of Lead Applicant, Partnership Structure, and Administrative Controls and Systems (6 points)**

- i. Detailed description demonstrating the lead applicant's capacity to effectively manage each component of the program, including a project management plan and a communications plan for efficient and effective management of the project with all partners and staff; and demonstrating its capacity to establish effective procurement processes, systems, and procedures and those of any partners who will be providing any services or conducting any activities under the grant (if applicable); (4 points) and
- ii. Detailed organizational chart that identifies the lead applicant, required partners, and optional partners. The chart must describe the structure of the relationships of all partners involved in the project. The chart must also identify the proposed project's staffing plan to illustrate that partners have the capacity to support the lead applicant to carry out the proposed project. The staffing plan must describe the qualifications and experience of all executive and administrative staff, as well as other personnel, such as board members, advisors, and consultants, to fulfill the needs and requirements of the proposed project. Such qualifications and experience must demonstrate the ability to manage a strategic partnership, including fiscal and administrative management, outreach, and promotion. (2 points)

**2) Financial, Data Collection, And Performance Reporting Systems (2 Points)**

Applicants must agree to meet DOL reporting requirements and provide individual record-level data that will be made available for evaluation and national reporting purposes. Please refer to Section VI.C. for a description of the reporting requirements for projects funded under this grant program.

- i. Comprehensive description of the existing or planned systems and processes that the lead applicant will use to provide timely and accurate financial and participant-level performance reporting, including the process for tracking participant-level data on participant characteristics, services, activities, and employment outcomes of



participants served through the project to report to the Department during the life of the grant. In addition, the description must detail how these systems will be used to regularly assess progress towards the identified performance goals and that rigorous performance reporting will be taken into account in staffing and budgeting plans. (2 points)

**e) Past Performance – Programmatic Capability (30 Points)**

Applicants will receive points based on past performance data. Applicants must use the information below and provide the applicable past performance information.

- i. Full description of the lead applicant's prior experience in the development of employment and training programs, or capacity to establish or expand employment and training programs within a rural local/regional or statewide area during the grant period. This could include evidence of existing partnerships, prior experience in taking employment and training programs to scale, and the number of participants served in prior programs; (8 points)
- ii. Demonstration that partners have experience in deploying employment and training programs; including classroom training, work-based learning programs, internships, mentorships, externships, or clinical placements within the proposed industry; and in enrolling participants in employment and training programs, including securing employment placements, and/or wage increases; (6 points) and
- iii. Documentation of Past Performance. Applicants must provide past performance data for outcomes achieved in past grant initiatives. (16 points)

Organizations will receive points based on past performance data. Applicants must use the information below and provide the applicable past performance information. There are different instructions depending on your past grant experience.

Applicants must use the below information to determine which instructions are applicable to their organization.

**Applicants who have completed an H-1B-funded grant award within the past five years are required to use the following:**

Applicants that have completed an H-1B grant award from the Department will receive points based on past performance demonstrated by the Quarterly Performance Report (ETA-9136) and Quarterly Financial Report (ETA-9130) report submissions.

**Applicants who have completed an ETA agreement, but not an H-1B funded grant award are required to use the following:**

Applicants that have completed an ETA agreement within the last five years of the closing date of this Announcement must submit past performance for their ETA agreement.

**Applicants that have only completed non-ETA assistance agreements (federal or non-federal grants and cooperative agreements, but not federal contracts):**

Applicants that have completed a federally and/or non-federally funded assistance agreement similar in size, scope, and relevance to the proposed project within the last five years of the closing date of this Announcement must submit past performance for their agreement.

### **Past Performance Chart (all Applicants)**

The Past Performance Chart must be provided by all applicants and include the following information:

- Grantor name and contact information;
- Project information/grant objectives;
- Performance goals; and
- Spending rate analysis.

For non-ETA grants, the chart must be signed by the grantor, or a letter must be provided from the grantor verifying the past performance data. Failure to do so will result in zero points being awarded for this rating factor. This letter must be on grantor letterhead and contain contact information for the grantor.

### **Performance Goals:**

The Past Performance Chart must include the overall objectives of the grant, population served, funding amount and grantor contact information. The chart must detail significant performance goals and the outcomes of those goals, in order to demonstrate if and how the applicant successfully completed and managed the agreement.

Applicants should use the performance indicators most similar to:

- Total participants enrolled in education/training activities;
- Total participants who complete education/training activities;
- Total participants who complete education/training activities and receive a degree, or other type of credential;
- Total number of unemployed and underemployed participants who complete education/training activities and obtain employment; and

- Total number of incumbent worker participants who complete training activities and advance into a new position.

ETA views the above indicators as the most critical to demonstrating that the applicant's past success in a similar program has prepared its organization to succeed in operating an employment and training project. Applicants may substitute a different indicator if the substituted indicator is applicable to the outcomes required in this FOA.

In the chart, applicants must identify the total number of participants enrolled in the program and the performance outcome for each metric, displayed as both a fraction (e.g., the numerator equal to the number of program participants who achieved the identified indicator, and the denominator equal to the total program participants eligible for the identified indicator), and a percentage.

Applicants will receive points based on past performance demonstrated in the performance chart. The performance chart must clearly identify the indicators being used and must include a definition for how the outcome is calculated (e.g., the numerator and denominator for the outcome). (14 points)

- Applicants with performance outcomes that met or exceeded four of the performance goals will receive 14 points.
- Applicants with performance outcomes that met or exceeded three of the performance goals will receive 9 points.
- Applicants with performance outcomes that met or exceeded two performance goals will receive 6 points.
- Applicants with performance outcomes that met or exceeded one performance goal will receive 3 points.
- Applicants that did not meet any performance goals will receive 0 points.

DOL reserves the right to disqualify indicators that are determined not to be sufficiently similar to the indicators above and award zero points for non-qualifying indicators.

### **Spending Rate Analysis:**

Applicants must submit, as part of the chart of past performance described above, the total grant amount and the percentage of grant funds spent during the original period of performance of the grant. Applicants will receive points for their spending rate, as demonstrated in the chart they provide. (2 points)

- Applicants that expended at least 98 percent of the grant funds for their most recently completed grant will receive 2 points.

- Applicants that expended at least 80 percent but less than 98 percent of the grant funds for their most recently completed grant will receive 1 point.
- Applicants that expended less than 80 percent of the grant funds for their most recently completed grant will receive 0 points.

Below is a sample format for the chart:

<b>Name of Previous Grantor Organization:</b>				
<b>Grantor Contact - Name, Title, Signature (if non-ETA grant), E-mail Address, and Telephone Number:</b>				
<b>Project Title and Grant Number:</b>				
<b>Project Period of Performance:</b>				
<b>Number of Participants Enrolled:</b>				
<b>Population Served:</b>				
<b>Performance Goals</b>				
<b>Metric</b>	<b>Performance Indicator (Goal)</b>	<b>Performance Outcome</b>	<b>Performance Outcome / Performance Goal</b>	<b>Percentage Rate of Actual Achievement</b>
<i>Example: placement into unsubsidized jobs within one year of program completion</i>	<i>60</i>	<i>58</i>	<i>58/60</i>	<i>97%</i>
<b>Spending Rate Analysis</b>				
<b>Grant Funds Received:</b>	<b>Grant Funds Spent by end of the Original Period of Performance:</b>	<b>Total Spent by end of Original Period of Performance / Total Grant Funds</b>	<b>Percentage Rate of Spending:</b>	
<i>Example: \$1,000,000</i>	<i>\$800,000</i>	<i>\$800,000/ \$1,000,000</i>	<i>80%</i>	

**f) Budget and Budget Narrative (2 points)**

The Budget and Budget Narrative will be used to evaluate this section. Please see Section IV.B.2 for information on the requirements. The Budget and Budget Narrative do not count against the page limit requirements for the Project Narrative.

Applicants must provide a detailed explanation of the following:

- How the budget is reasonable and feasible based on the activities outlined in the Project Narrative;
- How the proposed expenditures will support the expansion of healthcare opportunities for rural populations; and
- Whether key personnel have adequate time devoted to the project to achieve project results.

For full points, applicants must demonstrate that they are generating leveraged resources to support the project. Applicants are encouraged (but not required) to generate at least 15 percent of the total requested amount of the grant as leveraged funds to support the project. (2 points)

**g) Priority Consideration (2 points)**

- i. **Opportunity Zones:** Identify that at least one census tract within an applicant's physical service area is designated as a qualified Opportunity Zone. (2 points)

**4. Attachments to the Project Narrative**

In addition to the Project Narrative, you must submit attachments. All attachments must be clearly labeled. We will exclude only those attachments listed below from the page limit. The Budget and Budget Justification do not count against the page limit requirements for the Project Narrative.

You must not include additional materials such as résumés or general letters of support. 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**

### **1) Abstract**

You must submit an up 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 not result in your application being disqualified; the lack of the required information in the abstract, however, may impact scoring. See III.C.1 for a list of items that will result in the disqualification of your application.

Include the following in the abstract (see Appendix F for suggested template):

1. Lead applicant's organization name;
2. Lead applicant's entity type;
3. Lead applicant's location (city/state);
4. Organization names and entity type of required partners;
5. Organization names and entity type of optional partners;
6. Geographic scope (project service areas);
7. Total funding requested;
8. Project title/name;
9. Proposed number of participants who start training. Must align with the minimum goals as identified in performance measure outcome table (see Appendix D);
10. Summary of employment and training activities offered;
11. Targeted population(s) to be served;
12. Targeted H-1B occupations (must match occupations listed in application);
13. Does the application include developing a new employment and training program(s), expanding an existing program(s), or both; and
14. Public contact information.

The Abstract is limited to two, double-spaced, single-sided 8.5x11 inch pages with 12-point text font and 1-inch margins.

When submitting in grants.gov, this document must be uploaded as an attachment to the application package and specifically labeled "Abstract."

## **b) Requested Attachments**

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

### **1) Documentation of Partnership Commitment**

You will be scored on the documentation showing representation from at least one senior-level representative from each of the required entities, as described in Section III.A. H-1B Rural Healthcare Grant Partnership. This may include signed and dated Letters of Commitment or Memoranda of Understanding between the applicant and all required and optional partner organizations and/or sub-grantees that propose to provide services to support the program model and lead to the identified outcomes.

When submitting in grants.gov, these letters must be uploaded as an attachment to the application package and specifically labeled “Letters of Commitment.”

### **2) Organizational Chart**

Detailed organizational chart that identifies the lead applicant, required partners, and optional partners. The chart must describe the structure of the relationships of all partners involved in the project. The chart must also identify the proposed project’s staffing plan to illustrate that partners have the capacity to support the lead applicant to carry out the proposed project. The staffing plan must describe the qualifications and experience of all executive and administrative staff, as well as other personnel, such as board members, advisors, and consultants, to fulfill the needs and requirements of the proposed project. Such qualifications and experience must demonstrate the ability to manage a strategic partnership, including fiscal and administrative management, outreach, and promotion.

Omission of the Organization Chart will not result in your application being disqualified; the lack of the required information, however, will impact scoring. See Section III.C.1 for a list of items that will result in the disqualification of your application.

### **3) Project Work Plan**

You will be scored on the completion and detail of the Project Work Plan as described in Section IV.B.3.c.3. Project Work Plan. See template in Appendix E.

### **4) Performance Outcomes Table**

You will be scored on the completion and detail of the projected performance outcomes information in a performance outcomes table. For an example, see Appendix D. Performance Outcome Measures Table.

## 5) **Past Performance Documentation**

This attachment must include both the Chart of Past Performance and the Grantor Verification Letter for non-ETA grants (if the chart is not signed by the Grantor). See Section IV.B.3.e for which applicants are to submit this documentation and additional instructions.

When submitting in grants.gov, these documents must be uploaded as an attachment to the application package and specifically labeled “Past Performance.”

## 6) **Indirect Cost Rate 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 specifically labeled “NICRA.”

## 7) **Financial System Assessment Information**

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

# C. **SUBMISSION DATE, TIME, PROCESS, AND ADDRESS**

We must receive your application by **November 13, 2020**. You must submit your application either electronically on <https://www.grants.gov> or in hard copy by mail or in hard copy by hand delivery (*including overnight delivery*) **no later than 4:00:00 p.m. Eastern Time on the closing date.**

Applicants are encouraged to submit their application before the closing date to minimize the risk of late receipt. We will not review applications received after 4:00:00 p.m. Eastern Time on the closing date. We will not accept applications sent by e-mail, telegram, or facsimile (FAX).

## 1. **Hardcopy Submission**

All applications submitted in hardcopy by mail or hand delivery (including overnight delivery) must be received at the designated place by the specified closing date and time. Applicants submitting applications in hard copy by mail or hand delivery must submit a copy-ready version free of bindings, staples, or protruding tabs to ease in the reproduction of the application by



DOL. Applicants submitting applications in hard copy must also include in the hard copy submission an identical electronic copy of the application on compact disc (CD) or flash drive. If we identify discrepancies between the hard copy submission and CD/flash drive copy, we will consider the application on the CD/flash drive as the official submission for evaluation purposes. Failure to provide identical applications in hardcopy and CD/flash drive format may have an impact on the overall evaluation.

If an application is submitted both by hard copy and through <https://www.grants.gov>, a letter must accompany the hard-copy application stating which application to review. If no letter accompanies the hard copy, we will review the copy submitted through <https://www.grants.gov>.

We will grant no exceptions to the mailing and delivery requirements set forth in this notice. Further, we will not accept documents submitted separately from the application, before or after the deadline, as part of the application.

Address mailed applications to the:

U.S. Department of Labor  
Employment and Training Administration  
Office of Grants Management  
Attention: Brinda Ruggles, Grant Officer  
Reference FOA-ETA-20-12  
200 Constitution Avenue, NW, Room N4716  
Washington, D.C. 20210

Please note that mail decontamination procedures may delay mail delivery in the Washington DC area. We will receive hand-delivered applications at the above address at the **3rd Street Visitor Entrance**. All overnight delivery submissions will be considered to be hand-delivered and must be received at the designated place by the specified closing date and time.

## **2. Electronic Submission through Grants.gov**

Applicants submitting applications through Grants.gov must ensure successful submission **no later than 4:00:00 p.m. Eastern Time on the closing date**. Grants.gov will subsequently validate the application.

The process can be complicated and time-consuming. You are strongly advised 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 only verifies 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/2014/08/11/1632/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:

- call 1-800-518-4726 or 606-545-5035 to speak to a Customer Support Representative or
- email [support@grants.gov](mailto: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**

For applications submitted on Grants.gov, we will consider only applications successfully submitted no later than 4:00:00 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.

We will not consider any hard copy application received after the exact date and time specified for receipt at the office designated in this notice, unless we receive it before awards are made, it was properly addressed, and it was (a) sent by U.S. Postal Service mail, postmarked not later than the fifth calendar day before the date specified for receipt of applications (e.g., an application required to be received by the 20th of the month must be postmarked by the 15th of that month); or (b) sent by professional overnight delivery service to the addressee not later than one working day before the date specified for receipt of applications. “Postmarked” means a printed, stamped or otherwise placed impression (exclusive of a postage meter machine impression) that is readily identifiable, without further action, as having been supplied or affixed on the date of mailing by an employee of the U.S. Postal Service. Therefore, you should request the postal clerk to place a legible hand cancellation “bull’s eye” postmark on both the receipt and the package. Failure to adhere to these instructions will be a basis for a determination that the application was not filed timely and will not be considered. Evidence of timely submission by a professional overnight delivery service must be demonstrated by equally reliable evidence created by the delivery service provider indicating the time and place of receipt.

**D. INTERGOVERNMENTAL REVIEW**

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

**E. FUNDING RESTRICTIONS**

All proposed project costs must be necessary and reasonable and in accordance with federal guidelines. Determinations of allowable costs will be made in accordance with the 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 has never received a negotiated indirect cost 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 200.68 for definition), which may be used indefinitely. If you choose this option, this methodology must be used consistently for all federal awards until such time as you choose to negotiate for an indirect cost rate, for which you may apply at any time. (See 2 CFR 200.414(f) for more information on use of the de minimis rate.)

## **2. Intellectual Property Rights**

Pursuant to 2 CFR 2900.13, to ensure that the federal investment of DOL funds has as broad an impact as possible and to encourage innovation in the development of new learning materials, the grantee will be required to license to the public all work created with the support of the grant under a Creative Commons Attribution 4.0 (CC BY) license. Work that must be licensed under the CC BY includes both new content created with the grant funds and modifications made to pre-existing, grantee-owned content using grant funds.

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

Instructions for marking your work with CC BY can be found at [https://wiki.creativecommons.org/Marking\\_your\\_work\\_with\\_a\\_CC\\_license](https://wiki.creativecommons.org/Marking_your_work_with_a_CC_license).

Questions about CC BY as it applies to this specific funding opportunity should be submitted to the ETA Grants Management Specialist 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 the CC BY license. Pre-existing copyrighted materials licensed to or purchased by the grantee from third parties, including modifications of such materials, remain subject to the intellectual property rights the grantee receives under the terms of the particular license or purchase. In addition, works created by the grantee without grant funds do not fall under the CC BY licensing requirement.

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

Separate from the CC BY license to the public, the Federal Government reserves a paid-up, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use for federal purposes: i) the copyright in all products developed under the grant, including a subaward or contract under the grant or subaward; and ii) any rights of copyright to which the recipient, subrecipient, or a contractor purchases ownership under an award (including, but not limited to, curricula, training models, technical assistance products, and any related materials). Such uses include, but are not limited to, the right to modify and distribute such products worldwide by any means, electronically or otherwise. The grantee may not use federal funds to pay any royalty or license fee for use of a copyrighted work, or the cost of acquiring by purchase a copyright in a work, where the Department has a license or rights of free use in such work. If revenues are generated through selling products developed with grant funds, including intellectual property, DOL treats such revenues as program income. Such program income is added to the grant and must be expended for allowable grant activities.

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

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

### **3. Grant Recipient Technical Assistance Training**

Grantees are required to participate in all ETA training activities related to grantee orientation, financial management and reporting, performance reporting, product dissemination, and other technical assistance training as appropriate during the grant period. These sessions may occur via conference calls, virtual events such as webinars, and in-person meetings. Applicants should budget for at least two staff members to attend up to two in-person events in Washington, D.C. during the life of the grant.

### **4. Use of Grant Funds for Paid Work-based Learning Components**

For the purposes of grants awarded under this FOA, the following will apply: organizations may only use grant funds to reimburse a portion of the participant's work-based learning costs for small employers (50 or fewer employees). For those businesses that have more than 50 employees, grant funds may not be used to reimburse work-based learning costs. For grants awarded under this FOA, the negotiated reimbursement percentage of work-based learning costs may be as high as 50 percent of the participant's hourly wage for employers with 50 or fewer employees. We also encourage grantees to negotiate lower rates or variable rates (such as starting at the maximum allowable reimbursement rate and reducing the subsidy over time), where possible, to ensure that the maximum number of participants will be served by the project.

The following are additional restrictions for use of grant funds for work-based learning:

- a) Participant placements may only occur in private for-profit and nonprofit sectors (e.g., the grant does not allow for public sector placements); and
- b) No placement may be made in staffing agencies providing workers on a temporary basis to employers for which the agency receives compensation from an employer.

### **5. Use of Funds for Supportive Services**

Grantees may use up to 10 percent of grant funds to provide supportive services to individuals who are participating in education and training activities provided through the grant. Under this FOA, supportive services for training participants include, but are not limited to, services such as transportation, childcare, dependent care, housing, and needs-related payments that are necessary to enable an individual to participate in education and training activities funded through this grant. Grantees may provide supportive services in various ways, including providing the supportive service itself (e.g., childcare); providing participants with a voucher for the service (e.g., public transportation cards or tokens); or providing a stipend directly to the participant. Where stipends for supportive services are provided, the stipend amount must be for costs of a specific supportive service (e.g., childcare), rather than simply based on an unidentified need. For the purposes of this FOA, grantees may use grant funds up to the percentage specified above, to provide supportive services only to individuals who are participating in education and training

activities provided through the grant, and only when: (1) they are unable to obtain such services through other programs; and (2) such services are necessary to enable individuals to participate in education and training activities under the grant.

Grantees may establish additional limits on the provision of supportive services or provide their subrecipients with the authority to establish such limits, including a maximum amount of funding and maximum length of time for supportive services to be available to apprentices. Grantees must ensure that their use of grant funds on supportive services is consistent with their organization's established written policy on the provision of supportive services. Additionally, we encourage grantees to identify other sources of funding for supportive services, including through co-enrolling in WIOA.

## **6. Grant Profit**

For all grant recipients and subrecipients, the earning of profit is not an allowable cost item. Earnings above actual costs incurred are to be treated as program income. Any program income earned must be used for program purposes.

## **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**

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### **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.

<b>Criterion</b>	<b>Points (maximum)</b>
1. Statement of Need (See Section IV.B.3.a. Statement of Need)	10
2. Expected Outcomes, and Outputs (See Section IV.B.3.b. Expected Outcomes and Outputs)	26
3. Project Design (See Section IV.B.3.c. Project Design)	24



4. Organizational, Administrative, and Fiscal Capacity (See Section IV.B.3.d Organizational, Administrative, and Fiscal Capacity)	8
5. Past Performance – Programmatic Capability (See Section IV.B.3.e. Past Performance – Programmatic Capability)	30
6. Budget and Budget Justification (See Section IV.B.2. Project Budget)	2
7. Bonus Points – <b>Opportunity Zones</b> (See Section IV.B.3. Priority Considerations)	2
<b>TOTAL</b>	<b>102</b>

### Standards for Evaluating the Applicant’s Response to each Requirement

Section IV.B.3, Project Narrative provides a detailed explanation of the information an application must include (e.g., a comprehensive work plan for the whole period of performance with feasible and realistic dates). 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
Thoroughly 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.	Half Points
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, ETA 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, ETA will comply with the requirements of 2 CFR Part 180 codified at 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:

- 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 ETA's Risk Review process, the past will determine:

- If the applicant had any restriction on spending for any ETA 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.

All applicants are requested to submit the following information as an attachment to their application (suggested template below) for ETA to assess the applicant's Financial System. This information will be taken into account as one component of ETA's 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. Applicants are expected to have these in place before applying for a grant with ETA.

<b>U.S. DEPARTMENT OF LABOR -EMPLOYMENT AND TRAINING ADMINISTRATION</b> <b>(ETA)</b> <b>FUNDING OPPORTUNITY ANNOUNCEMENT: FINANCIAL SYSTEM</b> <b>ASSESSMENT</b>		
<b>SECTION A: PURPOSE</b>		
<p>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.</p> <p>(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.</p> <p>(2) Entries in accounting records should refer to subsidiary records and/or documentation which support the entry and which can be readily located.</p> <p>(3) The accounting system should provide accurate and current financial reporting information.</p> <p>(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.</p>		
<b>SECTION B: GENERAL</b>		
<p>1. Complete the following items:</p>		
<p>a. When was the organization founded/incorporated (<i>month, day, year</i>)</p>	<p>b. Principal officers <span style="float: right;">Titles</span></p>	

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. (12 months) \$	
		<b>SECTION C: ACCOUNTING SYSTEM</b>	
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
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?		Yes	No    Not Sure
If so, who approved it (Federal Cognizant Agency or a Pass-through Entity)? What are the effective dates?			
8. Does the accounting/financial system include budgetary controls to preclude incurring obligations in excess of:			
a. Total funds available for a grant?		Yes	No    Not Sure
b. Total funds available for a budget cost category (e.g. Personnel, Travel, etc)?		Yes	No    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
		<b>SECTION D: FINANCIAL STABILITY</b>	
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.			
		<b>SECTION E: FINANCIAL STATEMENTS</b>	

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:			
<b>SECTION F: ADDITIONAL INFORMATION</b>			
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 ETA Homepage at <https://www.dol.gov/agencies/eta/>. 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 FOIA will be subject to the following administrative standards and provisions.

- i. Non-Profit Organizations, Educational Institutions, For-profit entities and State, Local, and Indian Tribal Governments – 2 CFR Part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards) and 2 CFR Part 2900 (DOL’s Supplement to 2 CFR Part 200).
- ii. Appeal – This program is authorized under section 414(c) of the American Competitiveness and Workforce Improvement Act of 1998 (ACWIA), as amended (codified at 29 USC 2916a). Therefore, appeal under sections 186 of the Workforce Investment Act or the Workforce Innovation and Opportunity Act is not available.
- iii. 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).
- iv. 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.
- v. 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.
- vi. 29 CFR Part 32—Nondiscrimination on the Basis of Handicap in Programs or Activities Receiving Federal Financial Assistance.
- vii. 29 CFR Part 35—Nondiscrimination on the Basis of Age in Programs or Activities Receiving Federal Financial Assistance from the Department of Labor.
- viii. 29 CFR Part 36—Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance.
- ix. 29 CFR Part 38 – Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Innovation and Opportunity Act.
- x. 29 CFR Parts 29 and 30—Labor Standards for the Registration of Apprenticeship Programs, and Equal Employment Opportunity in Apprenticeship and Training, as applicable.
- xi. The Department of Labor will follow the procedures outlined in the Department’s Freedom of Information Act (FOIA) regulations (29 CFR Part 70). If DOL receives a FOIA request for your application, the procedures in DOL’s FOIA regulations for responding to requests for commercial/business information submitted to the government will be followed, as well as all FOIA exemptions and procedures. See generally 5 U.S.C. § 552; 29 CFR Part 70.
- xii. Standard Grant Terms and Conditions of Award—see the following link:  
<https://www.doleta.gov/grants/resources.cfm>.

## **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. If a faith-based organization is awarded a grant, the organization will be provided with more information.

### **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 they 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://edocket.access.gpo.gov/2010/pdf/2010-22705.pdf>.

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

- 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 their handling of confidential information:

- i. You must ensure that PII and sensitive data developed, obtained, or otherwise associated with DOL/ETA 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 ETA 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 ETA 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 ETA for any purpose not stated in the grant agreement.
- ix. Access to any PII created by the ETA 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 ETA 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 ETA 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 ETA 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 ETA at the end of the final year of the grant. Information about this process may be found in ETA's Grant Closeout FAQ located at <https://www.doleta.gov/grants/docs/GCFAQ.pdf>.

### **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) ETA Evaluation**

As a condition of grant award, grantees are required to participate in an evaluation, if undertaken by DOL. The evaluation may include an implementation assessment across grantees, an impact and/or outcomes analysis of all or selected sites within or across grantees, and a benefit/cost analysis or assessment of return on investment. Conducting an impact analysis could involve random assignment (which involves random assignment of eligible participants into a treatment group that would receive program services or enhanced program services, or into control group(s) that would receive no program services or program services that are not enhanced). We may require applicants to collect data elements to aid the evaluation. As a part of the evaluation, as a condition of award, grantees must agree to: (1) make records available to the evaluation contractor on participants, employers, and funding; (2) provide access to program operating personnel, participants, and operational and financial records, and any other 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 ETA, and may also have a significant impact on decisions about future grants with ETA.

### **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**

A Quarterly Financial Status Report (ETA 9130) is required until such time as all funds have been expended or the grant period has expired. Quarterly reports are due 45 days after the end of each calendar-year quarter. On the final Financial Status Report, you must include any subaward amounts so we can calcu

late final indirect costs, if applicable. You must use DOL's Online Electronic Reporting System and information and instructions will be provided to grantees. For other guidance on ETA's financial reporting, reference TEGL 02-16 and our webpage at [https://www.doleta.gov/grants/financial\\_reporting.cfm](https://www.doleta.gov/grants/financial_reporting.cfm).

## **2. WIOA Primary Indicators of Performance**

In compliance with 29 USC § 3224(a)(7), the Department requires H-1B grants with a start date of July 1, 2016 and later to align with and report on the six Workforce Innovation and Opportunity Act (WIOA) primary indicators of performance, as set forth in WIOA section 116(b)(2).<sup>18</sup>

The following WIOA primary indicators of performance are applicable to H-1B grants:

- 1) **Employment Rate – 2nd Quarter After Exit;**
- 2) **Employment Rate – 4th Quarter After Exit;**
- 3) **Median Earnings – 2nd Quarter After Exit;**
- 4) **Effectiveness in Serving Employers (Retention with the Same Employer 2nd and 4th Quarter After Exit);**
- 5) **Credential Attainment; and**
- 6) **Measurable Skill Gains.**

Applicants will provide outcome targets for two key WIOA outcomes “Employment Rate – 2nd Quarter After Exit” and “Employment Rate – 4th Quarter After Exit.” Applicants will not be required to provide outcome targets for the remaining primary indicators of performance.

The information collected on these measures is used by the Department to assess performance across numerous programs administered by the Department.

The Department acknowledges that successful H-1B grant applicants may not have access to unemployment insurance wage records in order to track and report exit-based outcomes on employment rates, median earnings and the effectiveness in serving employer measures. Therefore, the Department matches wage records on behalf of grantees in order to capture these specific exit-based outcomes for participants that have successfully exited the H-1B program for the following indicators only:

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<sup>18</sup> TEGL No.14-18, *Aligning Performance Accountability Reporting, Definitions, and Policies Across Workforce Employment and Training Programs Administered by the U.S. Department of Labor (DOL)*, March 25, 2019.

- Employment Rate – 2nd Quarter After Exit;
- Employment Rate – 4th Quarter After Exit;
- Median Earnings – 2nd Quarter After Exit; and
- Effectiveness in Serving Employers – Retention with Same Employer 2nd and 4th Quarter After Exit.

The WIOA Credential Attainment and Measurable Skill Gains measures are calculated using participant-level performance data collected during the grant period of performance by successful grant applicants.

### **3. Quarterly Progress Reports**

H-1B grants are required to submit a Quarterly Progress Report containing updates on the implementation and progress specified in the grant's Statement of Work (SOW) and the status of grant program outcomes for all participants that receive grant-funded services. As described above, these grants will align with WIOA performance reporting requirements. DOL will provide grantees with access to the online reporting system, Workforce Integrated Performance System (WIPS), along with formal guidance and technical assistance for data collection and reporting.

The grantee must submit a quarterly performance report within 45 days after the end of each calendar-year quarter. This report includes a quarterly performance report (QPR), which is a quantitative report of all participants served through the grant program. The QPR is a quarterly aggregate of the individual participant records that the grantee has collected and uploaded as a data file into WIPS. In order to submit these quarterly reports, the grantee will be expected to track and report on certain participant-level data to ETA, including Social Security Numbers (SSNs), on all individuals who are provided grant-funded services. The SSN information allows ETA to efficiently match employment data from state unemployment insurance and other wage records. Thus, the collection of participant SSNs lessens the burden on grantees in tracking exit-based employment measures (WIOA Primary Indicators of Performance), while permitting consistent and reliable outcome information to be produced regarding the program. Applicants may view the current OMB-approved reporting requirements that will apply to these grants, OMB Control No. 1205-0521.

In addition to the QPR, grantees must submit the Joint Quarterly Narrative Performance Report Template (ETA 9179) progress report within 45 days after the end of each calendar year quarter during which the grant is within the period of performance for the award. The report includes quarterly information regarding accomplishments, including project success stories, upcoming grant activities, and promising approaches and processes, as well as progress toward performance outcomes, including updates on product, curricula, and training development. Applicants may view the current OMB-approved WIOA Joint Quarterly Narrative Progress

Report (QNR) (OMB Control No. 1205-0448) that will apply to these grants, OMB Control No. 1205-0521.

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

## **VII. AGENCY CONTACTS**

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For further information about this FOA, please contact Linda Forman, Grants Management Specialist, Office of Grants Management, at (202) 693-3416. Applicants should e-mail all technical questions to [forman.linda@dol.gov](mailto:forman.linda@dol.gov) and must specifically reference FOA-ETA-20-12, and along with question(s), include a contact name, fax and phone number. This Announcement is available on the ETA website at <https://www.doleta.gov/grants> and at <https://www.grants.gov>.

## **VIII. OTHER INFORMATION**

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### **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**

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

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 20 hours per response,

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

Send comments about the burden estimated or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, to the attention of the Departmental Clearance Officer, 200 Constitution Avenue NW, Room N1301, Washington, D.C. 20210. Comments may also be emailed to: [DOL\\_PRA\\_PUBLIC@dol.gov](mailto: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 September 14, 2020, in Washington, D.C. by:

**Brinda Ruggles**

Grant Officer, Employment and Training Administration



## APPENDIX A: ALLOWABLE H-1B HEALTHCARE OCCUPATIONS

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The H-1B Rural Healthcare Grant Program will fund projects that support well-paying, middle- and high-skilled jobs in H-1B healthcare occupations serving rural areas at the local/regional or statewide level with healthcare training. For the purposes of this grant program, rural populations are those that (1) meet the criteria defined by the Health Resources & Services Administration (HRSA)'s Federal Office of Rural Health Policy (FORHP) at <https://www.hrsa.gov/rural-health/about-us/definition/index.html>; or (2) any federally recognized Indian tribe.

Applicants may choose to provide grant services in any healthcare occupation that impacts direct patient care in rural areas. Applicants may propose to serve multiple healthcare occupations within the healthcare industry, or a specific occupation within the healthcare industry sector.

Applicants may choose to provide healthcare training in one or more of the following occupations:

Occupation:	O#NET Code	O*NET Job Zone <sup>19</sup>
Substance Abuse and Behavioral Disorder Counselors	21-1011.00	5
Marriage and Family Therapists	21-1013.00	5
Mental Health Counselors	21-1014.00	5
Rehabilitation Counselors	21-1015.00	5
Child, Family, and School Social Workers	21-1021.00	4
Healthcare Social Workers	21-1022.00	5
Mental Health and Substance Abuse Social Workers	21-1023.00	5
Health Educators	21-1091.00	4
Social and Human Service Assistants	21-1093.00	4
Community Health Workers	21-1094.00	4
Registered Nurses	29-1141.00	3
Acute Care Nurses	29-1141.01	3
Critical Care Nurses	29-1141.03	3
Medical and Clinical Laboratory Technologists	29-2011.00	4
Cytogenetic Technologists	29-2011.01	4
Histotechnologists and Histologic Technicians	29-2011.03	3
Medical and Clinical Laboratory Technicians	29-2012.00	3

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<sup>19</sup> See <https://www.onetonline.org/help/online/zones> for a full description of O\*NET Job Zones.

Cardiovascular Technologists and Technicians	29-2031.00	3
Diagnostic Medical Sonographers	29-2032.00	3
Nuclear Medicine Technologists	29-2033.00	3
Radiologic Technologists	29-2034.00	3
Magnetic Resonance Imaging Technologists	29-2035.00	3
Emergency Medical Technicians and Paramedics	29-2041.00	3
Pharmacists	29-1051.00	5
Pharmacy Technicians	29-2052.00	3
Psychiatric Technicians	29-2053.00	3
Surgical Technologist	29-2055.00	3
Licensed Practical and Licensed Vocational Nurses	29-2061.00	3
Occupational Health and Safety Specialists	29-9011.00	4
Occupational Health and Safety Technicians	29-9012.00	3
Home Health Aides	31-1011.00	2
Psychiatric Aides	31-1013.00	2
Nursing Assistants	31-1014.00	2
Occupational Therapists	29-1122.00	5
Occupational Therapy Assistants	31-2011.00	3
Occupational Therapy Aides	31-2012.00	3
Physical Therapist Assistants	31-2021.00	3
Physical Therapist Aides	31-2022.00	2
Massage Therapists	31-9011.00	3
Medical Assistants	31-9092.00	3
Medical Equipment Preparers	31-9093.00	2
Pharmacy Aides	31-9095.00	2
Phlebotomists	31-9097.00	3

Applicants may also choose to target specific healthcare occupation(s), even if that occupation is not in one of the identified H-1B occupations listed in Appendix A.

If a proposed occupation is not listed in Appendix A, the application must provide data showing that (1) the healthcare occupation focuses on direct patient care; and (2) the occupation is one for which a significant number of H-1B visas have been certified. Applicants must use verifiable data to make this demonstration, such as data provided by DOL's Foreign Labor Certification Data Center.

To view specific occupations for which H-1B visas have been certified, visit DOL's Foreign Labor Certification Data Center Web site

(<http://www.foreignlaborcert.doleta.gov/performance/data.cfm>) and select the “Data Disclosure” tab for the latest database of occupations approved under H-1B petitions.

## APPENDIX B: APPRENTICESHIP RESOURCES

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- Apprenticeship.gov (<https://www.apprenticeship.gov/>): The DOL launched Apprenticeship.gov in 2018 as the one-stop source for all things apprenticeship. Industry-Recognized Apprenticeship landing page can be accessed here <https://www.apprenticeship.gov/industry-recognized-apprenticeship-program>.
- Apprenticeship Community of Practice (COP) (<https://apprenticeship.workforcegps.org/>): General COP of apprenticeship resources.
- Quick Start Toolkit ([http://www.doleta.gov/oa/employers/apprenticeship\\_toolkit.pdf](http://www.doleta.gov/oa/employers/apprenticeship_toolkit.pdf)): Five step guide to take you from “exploring” to “launching” an apprenticeship.
- Federal Resource Playbook for Registered Apprenticeship (<http://www.doleta.gov/oa/federalresources/playbook.pdf>): Guide to federal government resources available to support registered apprenticeship.
- Describing a Quality Pre-Apprenticeship Program and Related Tools and Resources - [https://wdr.doleta.gov/directives/attach/TEN/TEN\\_13-12.pdf](https://wdr.doleta.gov/directives/attach/TEN/TEN_13-12.pdf).
- Competency Model Clearinghouse (<https://www.careeronestop.org/CompetencyModel/>): Database containing resources that detail competency models, such as apprenticeship work process schedules, assessment instruments, curricula, and other competency-related resources.
- My Skills My Future (<https://www.myskillsmyfuture.org/>): Tool for identifying jobs, training, and apprenticeship opportunities for given skills and occupations.
- My Next Move (<https://www.mynextmove.org/>): Questionnaire tool for helping users identify careers and trainings.
- Workforce System Strategies (WSS) (<https://strategies.workforcegps.org/>): Database of over 1,200 reports, studies, and papers on evidence-based research and emerging practices in workforce development.
- ETA Grantee Products (<https://etagranteeproducts.workforcegps.org/>): Community of Practice for posting DOL-funded, grantee-developed products, including a wide range of guides and toolkits for apprenticeship.
- SkillsCommons:
  - Apprenticeship Showcase (<http://support.skillscommons.org/showcases/apprenticeships/>): Showcase of resources developed for educators to help set up apprenticeship programs.
  - The Industry Expert to Expert Instructor (IE2EI) IMPACT Community (<http://support.skillscommons.org/connect/impact-communities/ie2et/>): Free online videos, tools, and resources featuring exemplary teaching practices that educational institutions can easily adopt and adapt to produce successful transitions of industry experts into expert teachers.

- Women in Sustainable Employment (Wise) Pathways (<http://support.skillscommons.org/connect/impact-communities/wise/>): This SkillsCommons initiative has created a series of career exploration courses designed for women to explore non-traditional, in-demand jobs in the manufacturing, energy, construction, information technology, and transportation industries.

## APPENDIX C: NATIONAL OCCUPATIONAL FRAMEWORKS

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The U.S. Department of Labor has contracted with the Urban Institute to develop voluntary, consensus-based National Occupational Frameworks (NOFs) to help employers and sponsors develop, and apprenticeship officials evaluate, new apprenticeship programs. These NOFs were developed in partnership with employers, sponsors, expert workers, educators, subject matter experts, trade associations, labor organizations, and licensing bodies to ensure that they meet the needs of a broad range of companies and organizations and enable industry-wide acceptance of apprenticeship training. For more information, please visit <https://www.urban.org/policy-centers/center-labor-human-services-and-population/projects/competency-based-occupational-frameworks-registered-apprenticeships>.

The NOFs identify core job functions, competencies, and performance criteria that meet the needs of most employers who sponsor apprentices in a given occupation. To date, the NOFs approved by the Department in healthcare occupations include:

- Community Health Worker
- Medical Assistant

You may download a copy of the NOF template to help create your own apprenticeship, using the following link <https://innovativeapprenticeship.org/national-occupational-frameworks-2/>.

For detailed information on the components of a National Occupational Framework, please see “The National Occupational Frameworks: A Technical Guide to Structure and Content, Draft 3.0 (January 2017),” which is found here [http://innovativeapprenticeship.org/wp-content/uploads/2017/02/NOF-tech-guide-with-appendices\\_revised.pdf](http://innovativeapprenticeship.org/wp-content/uploads/2017/02/NOF-tech-guide-with-appendices_revised.pdf).

## APPENDIX D: SUGGESTED PERFORMANCE OUTCOME MEASURES TABLE

### Rural Healthcare Employment and Training Performance Outcomes

<b>A. H-1B PERFORMANCE OUTCOME MEASURES</b>		
1	<b>Total participants served</b> Total number of new participants served each year.  Figures provided for total participants served include all individuals who receive a grant-funded service, after they are determined eligible for the program.  <i><b>Note:</b> Applicants are required to provide annual and cumulative targets for the total number of participants served; however, this data will <u>not</u> be treated as a performance outcome measure.</i>	Year 1:  Year 2:  Year 3:  Year 4:
	<b>Cumulative total (Sum of Year 1-4):</b>	
2	<b>Total participants enrolled in education/training activities</b> The total number of new participants enrolled in education/training each year.  Total participants enrolled in education/training activities should not exceed total participants served.  <i><b>Note:</b> Includes only those participants who start a RAP or IRAP (pre-apprenticeship do not count in this measure).</i>	Year 1:  Year 2:  Year 3:  Year 4:
	<b>Cumulative total (Sum of Year 1-4):</b>	
3	<b>Total participants who complete education/training activities</b> <i><b>Note:</b> Includes only those participants who start education/training activities</i>	Year 1:  Year 2:  Year 3:  Year 4:
	<b>Cumulative total (Sum of Year 1-4):</b>	
4	<b>Total participants who complete education/training activities and receive a degree, or other type of credential</b>  <i><b>Note:</b> Includes only those participants who start education/training activities.</i>	Year 1:  Year 2:  Year 3:

		Year 4:
	<b>Cumulative total (Sum of Year 1-4):</b>	
5	<b>Total number of unemployed and underemployed participants who complete education/training activities and obtain employment</b> This measure includes unemployed and underemployed workers as defined in Section III.C.3. Eligible Participants. Incumbent workers should not be included in this outcome.	Year 1: Year 2: Year 3: Year 4:
	<b>Cumulative total (Sum of Year 1-4):</b>	
6	<b>Total number of incumbent worker participants who complete training activities and that advance into a new position</b> This includes incumbent workers who advanced into a new position with their current employer, or a new employer following the completion of a training program. Incumbent workers who do not advance into a new position (e.g., who retained their existing position) following the completion of a training program should not be included in this outcome.	Year 1: Year 2: Year 3: Year 4:
	<b>Cumulative total (Sum of Years 1-4):</b>	

## Definitions:

### 1. Total participants served:

- This measure is defined as the total number of all individuals who receive a grant-funded service, after they are determined eligible to be served by the program.
- Applicants are required to provide annual and cumulative targets for the total number of participants served; however, this data will not be treated as a performance outcome measure.

### 2. Total participants enrolled in education/training activities:

- This outcome measure is defined as the total number of participants that start an allowable education/training activity.
- Participants in pre-apprenticeship activities do not count in this outcome until they start an RAP or IRAP and are hired by an employer.



- 3. Total participants who complete education/training activities:**
  - a. This outcome measure is defined as the total number of participants who start an allowable education/training activity(ies) and complete all the intended grant-funded training provided to the individual during the grant period of performance.
  - b. A participant's education/training activities may be one training or a series of courses or activities. Program completion for a participant is when a participant has completed all the intended education/training provided to the individual during the grant period of performance. Grantees must determine when a participant has completed all the intended grant-funded training services established for the individual during the grant period of performance based on the proposed program design.
- 4. Total participants who complete education/training activities and receive a degree, or other type of credential:**
  - a. This outcome measure is defined as the total number of participants who start education/training activities, complete all the intended education/training provided, and receive at least one recognized postsecondary credential.
- 5. Total number of unemployed and underemployed participants who complete education/training activities and obtain employment:**
  - a. This outcome measure refers to participants whose employment status at program entry is either unemployed or underemployed, who complete all the intended grant-funded training provided to the individual during the grant period of performance, and enter employment.
- 6. Total number of incumbent worker participants who complete training activities and that advance into a new position:**
  - a. This outcome measure refers to those participants, whose employment status at program entry is an incumbent worker, who complete their education/training program and advance to a new position with their current employer or with a new employer.
  - b. The grantee must have a partnership agreement with the employers of the participants to provide them with training prior to their entry into the grant program in order for the participants to qualify to be counted in this outcome.
  - c. Incumbent workers typically have a new job title and description upon advancement into a new position. However, as long as the new competencies are used in the job position after program completion and the change can be documented, the incumbent worker may be counted as having advanced into a new position with the employer or a new employer even if a new title is not conferred on the incumbent worker.

**Please Note:**

- Applicants should provide targets in raw numbers; percentages or other types of data projections are not acceptable.
- Applicants should provide targets for each year of the grant and for the total grant period. The figure provided for the total should equal the sum of the annual targets for each year.
- While applicants are required to propose goals for the five outcome categories identified in Section IV.B.3 Expected Outcomes and Outputs, which are specific to this FOA, they will also be required to report outcomes in alignment with outcomes identified in WIOA, as applicable.

<b><u>B. WIOA PRIMARY INDICATORS OF PERFORMANCE</u></b>		
	<b>Measure</b>	<b>Rate</b> (Total 4-year period)
	Employment Rate – 2nd Quarter After Exit	
	Employment Rate – 4th Quarter After Exit	

### **Definitions**

1. **Employment Rate – 2nd Quarter After Exit:** The percentage of participants who are in unsubsidized employment during the second quarter after exit from the program.
2. **Employment Rate – 4th Quarter After Exit:** The percentage of participants who are in unsubsidized employment during the fourth quarter after exit from the program.

## APPENDIX E: SUGGESTED PROJECT WORK PLAN TABLE

Applicants are encouraged to align their goals with specific activities that will meet those goals. Sample activities can include project administration and ramp-up; partnership engagement, outreach and recruitment; enrollment and training; case management services and provision of other supportive services; employment placement; and follow-up tracking of apprentices to collect outcomes. For planning purposes, the applicant should identify key deliverables and the timeframe for achieving each deliverable, including any milestones to indicate progression of activities. The applicant should also provide the name of the lead or supporting institution engaged in each activity or producing each deliverable, including any partner organizations.

<b>GOAL #1</b>	<i>Insert goal</i>		
<b>Activity:</b> <i>Insert activity (Sample: Project Administration &amp; Ramp-Up)</i>	<i>Insert description (if applicable)</i>	<b>Lead/Support Implementer(s)</b>	<i>Insert lead or supporting organization that will implement proposed activity</i>
<b>Deliverable(s):</b> <i>Insert deliverable(s)</i>	<i>Insert description (if applicable)</i>		
<b>Milestones</b>	<b>Timeframe</b>	<b>Deliverable Dates</b>	
<i>Insert milestone</i>	<i>Insert timeframe for Deliverable</i>	<b>Start:</b>	<i>Insert start and end dates</i>
		<b>End:</b>	
		<b>Annual Costs</b>	
		<b>Year 1</b>	<b>\$</b> <i>Insert annual costs</i>
		<b>Year 2</b>	<b>\$</b>
		<b>Year 3</b>	<b>\$</b>
		<b>Year 4</b>	<b>\$</b>
		<b>TOTAL</b>	<b>\$</b>
<b>GOAL #2</b>			
<b>Activity:</b>		<b>Lead/Support Implementer (s)</b>	
<b>Deliverable(s):</b>			
<b>Milestones</b>	<b>Timeframe</b>	<b>Deliverable Dates</b>	
		<b>Start:</b>	
		<b>End:</b>	
		<b>Annual Costs</b>	
		<b>Year 1</b>	<b>\$</b>
		<b>Year 2</b>	<b>\$</b>
		<b>Year 3</b>	<b>\$</b>

		<i>Year 4</i>	\$
		<i>TOTAL</i>	\$

**Please Note:** Applicants may replicate this chart in order to submit information on all activities and deliverables proposed during the period of performance.

## APPENDIX F: SUGGESTED ABSTRACT FORMAT

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*Applicants may tailor this template as needed to fit your proposed application.*

### LEAD APPLICANT

<b>Lead Applicant Organization Name:</b>	
<b>Lead Applicant Entity Type (Select One):</b> <ul style="list-style-type: none"><li><input type="checkbox"/> Nonprofit healthcare organizations affiliated with hospitals and other medical facilities;</li><li><input type="checkbox"/> Healthcare employers, and healthcare industry and/or occupation associations;</li><li><input type="checkbox"/> Organizations designated as “Primary Care Associations” by Health Resources and Service Administration (HRSA);<sup>20</sup></li><li><input type="checkbox"/> Workforce Innovation and Opportunity Act (WIOA) State and Local Workforce Development Boards, under Sections 101 and 107 of WIOA (29 U.S.C. 3111 and 3122); Indian/Native American Tribal Government (federally recognized); and</li><li><input type="checkbox"/> Native American Program entities eligible for funding under Section 166 of WIOA (29 U.S.C. 3221).</li></ul>	
<b>Lead Applicant Location:</b> City and State	

### H-1B RURAL HEALTHCARE GRANT PARTNERSHIP

**Note: Signed and dated Letters of Commitment or Memoranda of Understanding between the applicant and all required and optional partner organizations listed below must be provided to receive points.**

<b>REQUIRED PARTNERS:</b> The application must identify and include the types of entities listed below, which collectively form the “Rural Healthcare Partnership,” and any optional partners that support the goals of the Rural Healthcare Partnership.
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<sup>20</sup> PCAs are state or regional nonprofit organizations that provide training and technical assistance to health centers and their communities. Assistance is based on statewide and regional needs to help health centers improve programmatic, clinical, and financial performance and operations, including developing strategies to recruit and retain staff. *PCAs were established to create economies of scale for health centers, maximize the federal Section 330 investments in states, assess and monitor the policy and regulatory environments, and assist health centers in adapting to changing demands from an evolving healthcare environment. PCAs facilitate collaboration between health centers and governors, Medicaid Directors and state health departments to educate them on the health center program and its value to patients, and to work with health centers on the best approaches to meet the needs of their constituents.*

**EMPLOYER PARTNERS**

- List of at least **two (2)** employer partners.

**Name of Employer Partners:****Name of Education or Training Providers:**

**Name of the State Apprenticeship Agencies (SAAs):** Applicants proposing RAPs or IRAPs in states with federally recognized State Apprenticeship Agencies (SAAs) must include the SAA as a partner. *(Required only if applicant is proposing to provide RAP or IRAP training.)*

**Name of Entities Involved in Administering the Workforce Development System** established under the Workforce Innovation and Opportunity Act (WIOA), including State and Local Workforce Development Boards and Native American Program entities eligible for funding under WIOA.

**OPTIONAL PARTNERS:****Name of Optional Partner(s):****Type of Organization:****Geographic Scope:**

<ul style="list-style-type: none"> <li>• Identify scope: local/regional or statewide</li> <li>• Identify specific location(s) where grant services will be provided: cities, counties, or state(s)</li> <li>• <b>Indicate the census tract number(s) in your service area designated as a qualified Opportunity Zone, if applicable.</b></li> </ul>
<b>Total Federal Funding Requested (total 4-year period):</b>
<b>Project Title/Name:</b>
<b>Proposed Number of Participants Who Start Training.</b> Must align with the minimum goals as identified in Performance Measure Outcome Table (Appendix D).
<b>Summary of Employment and Training Activities Offered:</b>
<b>Targeted Population(s) to be Served:</b> Unemployed, underemployed, and/or incumbent workers. Within these three target groups, applicants may also describe other populations such as veterans, military spouses, transitioning service members, and underrepresented populations, including women, people of color, and ex-offenders, individuals with disabilities and other populations with employment barriers that hinder movement into middle-to high-skilled H-1B healthcare occupations.
<b>Targeted H-1B Occupations</b> (Must match occupations listed in application) <ul style="list-style-type: none"> <li><input type="checkbox"/> List applicable H-1B occupations identified in Appendix A: Specify occupation(s): _____ and/or</li> <li><input type="checkbox"/> H-1B occupation for which a significant number of H-1B visas have been certified (<b>Note:</b> Applicants must provide documentation to support that a significant number of H-1B visas have been certified for the occupations proposed with verifiable data such as DOL's Foreign Labor Certification Data Center): Specify occupation(s): _____</li> </ul>

<b>New or Existing Program(s):</b> Does the proposed project include: <input type="checkbox"/> Expanding <i>existing</i> employment and training program(s) <input type="checkbox"/> Developing a <i>new</i> employment and training program(s) <input type="checkbox"/> Both	
<b>Public Contact Information:</b>	Name, Title: Address: Phone Number: Email Address: