Grantee Handbook

U.S. DEPARTMENT OF LABOR
EMPLOYMENT AND TRAINING ADMINISTRATION

Effectively Managing Your ETA Competitive Grant

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Disclaimer – This handbook is a general resource designed to orient grantees to the grant process in ETA. Specific details about your particular grant may differ.

This handbook applies to grants awarded on or after July 1, 2016.

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WELCOME!

Congratulations on receiving a competitive grant from DOL's Employment and Training Administration. You have recently received one of ETA's numerous grants that together provide job training, career pathways, credential attainment, and employment opportunities to millions of Americans. We recognize that this can sometimes be an overwhelming responsibility. Our goal in assembling this Grantee Handbook was to make sure that you have resources and information at hand to help you succeed in this vitally important assignment.

This Grantee Handbook is presented in six sections. Each section contains pertinent information that you and your staff need to know about the goals and expectations for managing an ETA competitively-awarded grant.

1. ETA's Team Approach to Grant Management – Organizational Roles and Responsibilities	▪ Describes how ETA's Regional and National offices work together to manage competitively-awarded grants. ▪ Provides direction on contacting an appropriate member of the grant management team when you need technical guidance, policy clarification or concurrence with proposed changes.
2. An Overview of Award Documents, Grantee Obligations, and Regulatory Requirements	▪ Walks through the content of each document included in your Grant Award Package. ▪ Provides a framework for helping you and your staff manage your grant so that it closely aligns with the goals, responsibilities, and commitments outlined in your approved Grant Agreement.

3. How to Manage Your Period of Performance	▪ Describes specific leadership and coordination roles expected of ETA grantees and provides guidance to help you succeed in meeting promised milestones and deliverables. Categories of guidance covered in this section include:
	  – Explanation of responsibilities and obligations regarding administrative procedure, project staffing, workforce development and training, employer and partner engagement, financial reporting, and participation in monitoring activities;
	  – Making the most strategic use of the project planning phase; and
	  – Finding relevant technical assistance resources from ETA.

4. Modifying Grants	▪ Explains the grant modification process and the types of modifications that are possible. ▪ Includes a modification checklist and a step-by-step description of the modification review process and timeframe.
5. Grant Closeout Phase	▪ Describes the process to close out a grant. ▪ Details the certifications and materials that are needed to successfully complete grant closeout. ▪ Includes a list of required forms for closeout as well as the expectations on grantees after grant closeout.
6. Evaluation: What Do I Need to Know As A Grantee?	▪ Provides an overview of ETA's grant evaluation process, expectations regarding your potential contribution to post-grant evaluation activity, the types of evaluation methods that are used to assess the impact of ETA competitive grants, and the role of evaluation in determining future programmatic and policy decisions.

The Grantee Handbook also contains additional resources that you may find useful to have at your fingertips as you implement your grant. These include:

- Instructions and guidance on grant requirements and timelines;
- Checklists to help you prepare for various stages of grant management;
- Lists of key contacts in ETA and how to reach them; and
- Quick "at-a-glance" charts of ETA grant programs and their associated statutes and regulations.

Other Potential Grantee Resources:

Performance Reporting Handbook: A handbook may also be issued related to the specific performance reporting requirements that pertain to your grant. More details about performance reporting are included in Section 3: *Performance Reporting for Tracking Outcomes.*

Program-Specific Features: Depending on the grant program in which you're participating, you may also receive a program-specific Grantee Orientation .

SECTION 1

ETA'S TEAM APPROACH TO GRANT MANAGEMENT – ORGANIZATIONAL ROLES AND RESPONSIBILITIES

Purpose

Though the target populations and activities may vary among individual grant programs, the core objective that ties together ETA's competitively-awarded grant initiatives is an emphasis on supporting activities that contribute to the development of an integrated national workforce investment system that:

- Provides individuals with the information, assistance and training they need to compete successfully for high-demand positions and occupations;
- Gives workers the skills and knowledge they need to maintain high-quality jobs and pursue desirable career pathways;
- Provides employers with access to a larger volume of highly-skilled, appropriately trained workers in the domestic workforce; and
- Supports economic stability and growth.

ETA established a multi-faceted grant management system designed to offer grantees easy access to customer service, technical assistance, and policy guidance during each stage of grant planning, implementation, and closeout, while maintaining transparency and accountability. To help clarify the grant management process and help you determine how to most efficiently access ETA assistance, this section contains:

- **A bird's eye view of ETA's primary purpose** in administering competitively-awarded employment and training grants;
- **Online resources and contacts** for guidance and information when questions and issues emerge during grant planning, implementation, and closeout; and
- **Definitions of the specific roles and responsibilities** carried out by each organizational arm of ETA's grant management team.

ETA Staff Support

ETA staff work collaboratively to ensure individual needs for technical assistance and guidance are met as quickly and appropriately as possible during each phase of the grant lifecycle - planning, implementation, completion, and closeout. Your primary point of contact will be your Federal Project Officer (FPO), though you may also interact with other staff from the Regional Office, the Office of Grants Management, and national program staff in ETA's program offices.

Role of Federal Project Officers

As a grantee, your FPO, located in one of ETA's six regional offices or ETA's national office, acts as your *primary point of contact* for the ETA competitive grants management team throughout the grant's Period of Performance. Your FPO should be the first person you approach when questions or issues arise related to your grant that need clarification or resolution. The FPO will assist you in locating and accessing appropriate technical assistance to help you comply with program requirements and support you as you work to reach your outcome goals.

Your FPO will review your quarterly programmatic and financial reports and will follow up with you with any questions or concerns. Additionally, your FPO may conduct in-person site visits for technical assistance or compliance monitoring of the grant.

Your FPO will work with you on any modifications. Please see Section 4 for additional information on modifying grants.

FPOs will verify that grant activities are conducted in compliance with the grant agreement and applicable Federal regulations. They will evaluate your organization's progress toward the goals specified in your grant agreement, and assess the quality of the program and services, including identifying promising practices and providing additional technical assistance as needed to help you meet your goals. FPO's will coordinate with the regional fiscal staff regarding oversight, technical assistance, and training on financial management. (A comprehensive overview of

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Federal Project Officers (FPOs) *work in ETA's six regional offices and serve as* <u>*primary points of contact*</u> *for technical, fiscal, and administrative guidance.*

ETA's Regional Offices

Region 1 – Boston
Connecticut, Maine, Massachusetts, New Hampshire, New Jersey, New York, Puerto Rico, Rhode Island, Vermont, and Virgin Islands

Region 2 – Philadelphia
Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, and West Virginia

Region 3 – Atlanta
Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, and Tennessee

Region 4 – Dallas
Arkansas, Colorado, Louisiana, Montana, New Mexico, North Dakota, Oklahoma, South Dakota, Texas, Utah, and Wyoming

Region 5 – Chicago
Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, Ohio, and Wisconsin

Region 6 – San Francisco
Alaska, American Samoa, Arizona, California, CNMI, Guam, Hawaii, Idaho, Nevada, Oregon, Palau,and Washington

*The National Office includes ETA program offices and OGM and is located in Washington, DC

the grant monitoring process is offered in Section 3: *How to Manage Your Period of Performance.*)Resource: http://www.doleta.gov/regions/

Role of Your National Grant Officer

National Grant Officers have overall responsibility for the execution and administration of grants. Only authorized National Grant Officers can obligate ETA's grant and cooperative agreement funds. To carry out this responsibility, they perform the following administrative and fiduciary functions on behalf of ETA:

- Manage and oversee the competitive award process, including the development and publication of Funding Opportunity Announcements (in collaboration with National Program Office Staff) and the review and selection of grant applications;
- Serve as the formal signatory on grant awards;
- Maintain the official grant file;
- Approve modifications to grant Statements of Work, budget realignments, and program plans;
- Review and approve planned grant activities as required by the Grant Agreement or Federal cost principles (e.g., equipment purchases and renovations);
- Issue initial and final determinations related to programmatic, financial, or administrative concerns; and
- Impose additional specific award conditions, as needed.

Regional Grant Officer: ETA also has Regional Grant Officers who have specific responsibilities delegated from the National Office. Your FPO will direct issues as appropriate to the Regional Grant Officer.

In most cases, grantees' primary contact will be the FPO, who works closely with Regional Grant Officers, who coordinate with the National Grant Office. As the primary liaison to the ETA grant management team, your FPO is responsible for contacting the National Grant Officer on your behalf for guidance on financial or administrative questions and relaying the answer to you in a timely manner. In certain instances of particularly complex questions or issues, your FPO may ask you to carbon copy (CC) the grant program mailbox (see page 47 for additional details) to ensure that the appropriate specialist has access to all pertinent information needed to make a fully informed decision about your grant.

Role of National Program Office Staff

National Program Office Staff serve as the content specialists in the ETA grant management team. They develop guidelines, criteria, and performance measures for individual grant solicitations, provide guidance throughout the grant's Period of Performance, and determine the suitability of any changes to previously-approved project work plans and measures. To enhance grant outcomes, they also offer a wide array of program-specific technical assistance and training services.
Primary grant management functions of National Program Office Staff include:

- Developing Funding Opportunity Announcements (FOAs);
- Creating communication and training materials to support FOAs;

- Developing and implementing performance reporting requirements;
- Developing training modules on performance reporting protocols;
- Organizing new grantee orientations and periodic formal training opportunities for current grantees;
- Providing technical assistance as needed to grantees on program design, service strategies and other areas to enhance program performance;
- Reviewing and providing concurrence on proposed modifications to approved work plans or proposed performance indicators and measures;
- Providing program and performance information to inquiries from the Administration, Congress, the Government Accountability Office, the Inspector General, and others;
- Providing guidance on evaluation design to internal and external evaluation experts; and
- Providing policy guidance on program operations.

SECTION 2

AN OVERVIEW OF AWARD DOCUMENTS,
GRANTEE OBLIGATIONS, AND REGULATORY REQUIREMENTS

You received notification that your organization was awarded an ETA grant. So what is next? The Authorized Signatory on your grant application will be contacted by the Office of Grants Management if any items need correcting or to be negotiated prior to the award being finalized. Your Grant Officer will incorporate your application into a grant award package and it will be e-mailed to your authorized representative. Please review your grant agreement closely – it is the primary resource for specific details about your grant. This handbook is a general resource that provides an overview of the ETA grant process for your reference only.

**Checklist for
Grant Award Packages**

✓ *Grant Award Letter*

✓ *Notice of Award*

✓ *Table of Contents of
Grant Terms*

✓ *Terms of Award*

✓ *Attachments A-E*

Grant Award Package

Your grant award package consists of a *Grant Award Letter and a grant agreement including a number of attachments.* The first page of the grant agreement is the *Notice of Award (NOA). The NOA is followed by: a* Table of Contents of the grant Terms, The Grant Terms, Attachments: A (the *Application for Federal Assistance* (Form SF-424)); B (the application budget SF-424A); C (the budget narrative); D (the statement of work which is your application narrative) and if applicable/available E (your federally approved Indirect Cost Rate Agreement).

Grant Award Letter
The grant award letter contains instructions on obtaining a Payment Management System (PMS) account which is necessary to access your grant funds. Please read carefully and establish your PMS account as soon as possible.

Notice of Award (NOA)

The first page of your Grant Agreement is the NOA. The NOA contains basic information about the parameters of your grant:

- The name of the relevant grant program;
- Identifying information for the grant recipient (e.g., the name of your organization, address, Federal Employer Identification Number [EIN], and Data Universal Numbering System [DUNS] number);
- ETA identifying information, which is either the grant number or Federal Award Identification Number (FAIN);

- Period of Performance;
- Award amount; and
- Pertinent regulations and cost principles.

Table of Contents of Grant Terms

This section contains the terms your organization has agreed to follow when applying for this grant. These terms may vary, so it is important that your organization review this section of the grant agreement. On the next page, you'll see a terms and conditions sample from a grant package.

Figure 1: Terms and Conditions

FY 2016 TERMS AND CONDITIONS SAMPLE

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Terms of Award

The following are some important terms of award highlighted in this section in the order they appear within your grant package:

a. Funding Opportunity Announcement
b. Indirect Cost Rate
c. Administrative Cost Limitations
d. Salary Restrictions
e. Audits
f. Equipment purchases
g. Reports (quarterly reporting requirements)
h. Procurement
i. Intellectual Property Rights
j. Program Requirements
k. Public Policy (Veterans Priority of Service)

a. Funding Opportunity Announcements (FOA)

Your application was based on responding to the Funding Opportunity Announcement (FOA) and the FOA is referenced in your grant agreement via a link (usually term #2). In most cases, the FOA will be your most important tool in navigating your grant program, since it describes the specific requirements for your SOW and provides a roadmap for successful implementation. In fact, the requirements outlined in the FOA are considered an integral part of a grant's requirements (which is why it is included in the formal Grant Agreement).

A FOA may include these critical components:

i. Industry Focus and Occupational Targets

The industry focus and occupational target of your grant program may be stipulated in the FOA. In some cases, your FOA will also include a list of acceptable North American Industry Classification System (NAICS) codes that should align to your training and employment outcomes.

ii. Allowable Grant Activities and Eligible Grant Participants

Allowable grant activities are specific grant-funded employment services, training, and other related services that may be provided. Eligible grant participants are the individuals eligible to receive the services as described in the FOA. Allowable grant activities may also include support and other related services to help participants succeed in your grant's training program or enter into or retain employment. Please see your FOA for program specific information.

iii. Partnership Requirements

Grantees are expected to coordinate services with the larger public workforce system (e.g., local workforce investment boards, American Job Centers, and/or local, municipal, or state agencies). We encourage you to actively engage the system in one or more of the following ways:

- Identifying, assessing and referring candidates for training;
- Connecting trainees/workers with employers; and
- Providing support services for qualified individuals, where appropriate.

You are also encouraged to reach out to other stakeholders in your local area. Stakeholders may include the employer community, industry associations, educational institutions, community based organizations, foundations, and apprenticeship programs.

The exact roles of grant partners vary depending on your project strategy and the needs of your participants. As a general rule, it is beneficial to identify and engage project's key partners and outline their activities early in the process, so that potential barriers to success may be fully addressed. Participants may face a wide range of challenges that are best addressed through multiple strategies and through collaboration with a wide variety of partners, requiring extra time for planning and implementation.

b. Indirect Cost Rate

The Standard Form (SF)-424A that your organization submitted as a part of your application indicated if your organization is claiming indirect costs.

iv. If your organization has a federally approved indirect cost rate and supplied this Negotiated Indirect Cost Rate Agreement (NICRA) with your application, please review your grant agreement to ensure it was incorporated correctly in Term #6.

v. If your organization entered an indirect cost rate in your SF 424, but your organization does not yet have a federally approved NICRA, ETA will automatically place your organization on a temporary billing rate for the first 90 days of your grant's Period of Performance. To continue to receive payment for indirect costs beyond this 90-day period, your organization will need to negotiate a an NICRA with ETA's Division of Cost Determination or your organization's cognizant agency (i.e. the Federal agency from which you receive the preponderance of funds). Instructions on how to initiate this procedure are outlined in Clause #2 of the Special Clauses and Conditions section of your Grant Award Letter. The link to the Division of Cost Determination is: http://www.dol.gov/oasam/boc/costdeterminationguide/main.htm

vi. If your organization elected to use the 10% *de minimis* rate per 2CFR 200.414, this should be noted in your grant agreement in term #6.

c. Administrative Cost Considerations

Administrative costs vary depending on the program. It is very important to review your Funding Opportunity Announcement and your grant agreement to determine if your grant agreement contains administrative cost limitations.

WIOA defines administrative costs more narrowly than other grant programs. Consequently, if you are a grantee for a program that operates under WIOA authority, it is very important that you take the time to familiarize yourself with WIOA's definition of administrative costs so that you are able to allocate, document, and report your administrative costs appropriately. It is also important to note that other programs, such as the Senior Community Service Employment Program (which is authorized by the Older Americans Act), may have a different definition of administrative costs than the one found in WIOA. Carefully review your Grant Agreement for the applicable allowable administrative costs definition.

The WIOA definition will be available after July 2016, and financial training tutorials are available at https://www.workforcegps.org/sitecore/content/global/home (search financial reporting).

d. Salary Restrictions

Salary restrictions vary according to the source of funds. If you are a recipient of a competitively-awarded ETA grant, you are subject to restrictions on the size of wages and bonuses provided to personnel associated with grant-related activities. Compensation for any individual must not exceed the equivalent of Executive Level II on the Federal pay scale, which can be found in the current year appropriation. Current pay tables may be accessed via the Office of Personnel Management Web site at http://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages. This limitation applies to individuals paid directly with appropriated grant funds as well as to subrecipients of appropriated grant funds, and it includes both direct and indirect cost expenditures. Additional guidance on this topic may be found by consulting Training and Employment Guidance Letter (TEGL) 5-06 (issued August 15, 2006).

e. Audits

ETA uses Office of Inspector and Single audits as a routine mechanism for oversight of our grant recipients. Single audits are the most common audit procedure that ETA grantees face, carried out in compliance with 2 CFR 200.501. In brief, The UG requires that all single, non-Federal organizations that expend excess of $750,000 (for your specific fiscal year) in Federal funds (from all sources) during the course of one year undergo a single audit procedure that satisfies the requirements of all sponsoring Federal agencies. These audits are conducted by an independent, non-Federal auditor (a licensed CPA), and the results of the audit are submitted to a central clearinghouse so that any Federal Agencies can access

them. Occasionally, your organization may also be asked to participate in supplementary audits by other Federal entities, such as the Office of the Inspector General (OIG), the Governmental Accountability Office (GAO), and the Defense Contracting Audit Agency. In all cases, OGM is responsible for resolving audit findings involving our funds or administrative procedures within six months after receiving the audit report.

f. Equipment Purchases

In line with the Uniform Guidance, 2 CFR 200.33, ETA defines equipment as any *tangible, personal property (including information technology systems)* that has:
1) A useful life of more than one year; and
2) A per-unit acquisition which equals or exceeds the lesser of the capitalization level established by the non-federal entity or $5,000.

The acquisition cost of equipment is defined as the *net invoice price* of the equipment *plus* the cost of any modifications, attachments, accessories, or auxiliary apparatus needed to make the property usable for the purpose for which it was acquired. Other charges, such as the cost of installation, transportation, taxes, duty, or protective in-transit insurance, are included or excluded from acquisition costs depending on the regular accounting practices of the recipient of the equipment.

Please be aware that prior approval is always required for equipment purchases/leases*, even if the request to purchase equipment is already specified in your SOW and/or budget.* This requirement applies to equipment purchased directly with grant funds, as well as to subrecipients purchases with grant funds. Information submitted in your project narrative application, budget narrative, or SF-424A regarding expected equipment purchases does NOT by itself constitute approval of these purchases. ETA reserves the right to withhold approval for equipment purchases outlined in any project narrative, budget narrative, or SF-424A Form submitted by grant awardees.   Grantees are also required to follow all Federal procurement regulations for all equipment purchases.

To ensure that any planned purchases of equipment can be considered allowable costs, you must obtain specific written approval from your Grant Officer in advance of purchase. In some cases, depending on the SOW and the level of justification provided for the planned equipment purchase, this statement of approval will appear in the Grant Award Letter.

Grantee should submit an equipment purchase approval request to your FPO shortly after receiving your grant award. Your request must follow the format outlined in the text box below and must include each item of equipment requested in the SOW. This timeline allows ETA sufficient opportunity to review and potentially give approval for all equipment purchases by the start of grant implementation, allowing for efficient execution of grant-related activities. Grantees are prohibited from incurring any costs related to equipment purchases with ETA grant funds until the request to purchase this equipment is approved by your Grant Officer.

In general, grantees *may not purchase equipment in the last funded year of the grant* except under limited instances determined on a case-by-case basis. Similarly, if you received prior

approval to purchase equipment from your Grant Officer but the purchase did not occur before the last funded year of the grant, the approval is automatically rescinded. Check your grant award for your specific terms.

g. Reports (quarterly reporting requirements)

Your organization is required to submit quarterly financial and programmatic reports. These reports are due 45 days after the end of each quarter. See section 3 for more information.

h. Procurement

The Uniform Administrative Requirements (2 CFR 200.317) require states to follow the same policies and procedures it uses for non-federal funds. The state will comply with §200.322 Procurement of recovered *materials* and ensure that every purchase order or other contract includes any clauses required by section §200.326 Contract provisions. Recipients must also follow the requirements regarding the competitive award of One-Stop Operators and youth service providers in the Workforce Investment and Opportunity Act at WIOA Sec. 121(d) and sec. 123.

i. Intellectual Property Rights

How to Submit an Equipment Purchase Request to Your FPO:

Step 1: Call your FPO.

Required Format
- Must be submitted on your organization's letterhead.
- Must be signed by the grant's Authorized Signatory.

Required Information
- Must include the following information *for each piece of equipment itemized in the request:*
    - Item name;
    - Item description and basic specifications;
    - Estimated useful life of equipment (if not commonly known);
    - Item cost (actual or estimated), including the cost to put the asset in place and make it useable for the purposes for which it was acquired (if known);
    - Purpose of acquisition: a description of how the equipment will be used to support the grant and a reference to the approved activities in the SOW; and
    - Contact name and telephone number, in case additional information is needed.
    - Any other information requested by your FPO/ETA.

See **Section 5** for more information.

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, as an ETA grantee, you are 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 http://creativecommons.org/licenses/by/4.0

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

Only work that is developed by the recipient in whole or in part with grants 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 license 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.

As an ETA grantee, you should clearly state the following information on all written materials when issuing statements, press releases, requests for proposals, bid solicitations, and other

documents describing the project or programs funded, in whole or in part, with Federal money:

- The percentage of the total cost of the program or project which will be financed with Federal money; and
- The dollar amount of Federal funds for the project or program.

If applicable, the following 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."

As a standard matter, the DOL seal is basically and primarily reserved for the Department's own use and should not be used by an external organization (even if it is a beneficiary of grant funding).

j. Program Requirements

Matching Funds and Leveraged Resources are program-specific requirements. You should refer to your FOA to determine your specific requirements.

Matching fund requirements apply when a financial match is either required by statute or is contained in the grant agreement as a condition of funding. All non-Federal resources, cash and in-kind resources alike, that are allocated to allowable grant activities, correspond to prevailing cost principles, and are expended to further grant objectives are considered part of this matching requirement. Additional information on match requirements, including definitions, inclusions, and methods of valuation, are addressed in 2.CFR 306 and 2 CFR 2900.8.

ETA will examine the match requirement (which the 9130 fiscal report refers to "Recipient Share Required") over the life of the grant and during the closeout period to confirm it satisfies the obligations established in the grant program and/or in the specific Grant Agreement. If the closeout examination reveals any unmet match obligations, the grantee can end up owing debt to the U.S. Government. Consequently, it is highly beneficial for you, as a grantee, to be very familiar with your grant's matching fund obligations and to maintain careful source documentation of matching contributions during your grant's Period of Performance.

"Leveraged resources" is a category of expenditures that benefit the Federal project but are not charged to the DOL-ETA grant. "Match" is a term reserved only for grants in which the statute, regulation or Funding Opportunity Announcement requires the grantee to expend funds for the purpose of the Federal award (usually a percentage of the award). Match expenditures must be from a non-Federal source, allowable under the statute, all pertinent regulations (including the program and Uniform Guidance regulations) and other Federal guidance. "Recipient Share" is the total amount of non-federal funds (match) required during the period of performance of the grant to support the objectives of the award as part of a requirement for matching. "Leveraged resources" are contributions by the grantee that contribute to the Federal project, but are not a requirement of the Federal award. Leveraged resources are not defined in regulation or any related administrative requirements. For ETA programs, the term leveraged resources refers to all resources used by the recipient to support grant activity and outcomes, whether or not those resources meet the standards required for match. Other contributions by the grantee or a third party that contribute to the Federal project but do not meet the criteria above are also leveraged resources, but are recorded and reported in a different manner. The ETA-9130 quarterly financial report contains definitions of and descriptions for reporting "leveraged resources."

k. **Public Policy** (**Veterans Priority of Service)**

The Jobs for Veterans Act (Public Law 107-28) requires that grantees provide priority to veterans and spouses of certain veterans for employment, training, and placement services in any job training program directly funded, in whole or in part, by ETA. Regulations implementing this priority of service can be found at 20 CFR Part 1010.

Attachment A

The Standard Form (SF) 424 submitted with your application will be incorporated as Attachment A. This form contains informational data about your organization such as your authorized representative, your mailing address and your EIN. If your authorized representative changes during the period of performance, you are required to notify your FPO and submit a formal modification request.

Attachments B & C

The budget information section of your Grant Award Letter includes a completed version of Form SF-424 (Application for Federal Assistance) and SF-424A (Budget Information: Non-construction Programs) – Attachment B, along with a copy of the budget narrative you provided in your original grant proposal – Attachment C is your budget narrative. You are required to describe the components that compose each line item of the SF-424A.

Attachment D

A Statement of Work (SOW) includes a project description, timelines, deliverables, and outcomes. All grant deliverables must be completed and planned outcomes met, unless the grant is officially modified before the end of the Period of Performance.

For competitively-awarded grants, the SOW that appears in your Grant Award Package is derived from your grant proposal under the Funding Opportunity Announcements and includes the Project Narrative and all required attachments, such as the abstract and letter(s) of commitment. For grants that are awarded competitively in one year and funded incrementally in future years, the SOW is obtained from the grant plan submitted during non-competitive years.

Attachment E

If your organization has a federally approved NICRA and you included it in your application, it will be incorporated in your grant agreement under Attachment E.

Grant Period of Performance

The *Period of Performance* is the authorized timeline for planning and implementing your grant. Consequently, all of your grant activities, performance outcomes, and grant expenditures must occur within this authorized time period unless you request and receive approval for a modification to your Period of Performance from the Grant Officer (discussed further in Section 5, "*Survival Guide for Modifying and Closing Grants*").

This section is intended to help you better understand how ETA looks at the Period of Performance, the expectations that accompany each stage of project planning and implementation, and the range of technical assistance available to you as an ETA grantee to help guide you toward successful grant implementation and outcome achievement.

Planning Phase

For new grantees that have a preliminary phase of grant implementation (three months to one year, depending on your particular grant program), you, as a grantee, must take the necessary steps to ensure that your grant has the necessary support structure in place to achieve successful outcomes. Proper preparation includes making sure that the following issues are fully addressed prior to implementation:

- **Program Staffing and Support:** recruiting and hiring the key staff members who will be responsible for managing and implementing your grant program;
- **Facilities and Resources:** obtaining the training space, equipment, and other key resources, such as supplies and worksite agreements, that you will need to carry out your SOW;
- **Partner Engagement:** developing and cementing the relationships and partnerships with local workforce development boards, employer partners, and other training collaborators that will allow you to provide necessary services to participants;
- **Data Management**: confirming that the management information system you intend to use for data collection, analysis, and reporting is fully developed and operational;
- **Policy and Guidance**: becoming familiar with all of the Federal policies and program specific guidance related to your award; and
- **Systems Access**: ensuring that you have established access to the Payment Management System and E-Grants system for funding drawdowns and financial reporting.

Program Development and Implementation Phase

This phase of the grant Period of Performance represents the heart of each grant award, as it is during this period that grant-funded programs and services are finally launched and delivered, and the viability of each grant initiative is truly tested. ETA's primary expectations of you as a grant recipient during this time period are that:

- Any protocols and processes that support the grant-funded program activities and related financial transactions are already in place;
- You are deeply familiar with your timeline for expected milestones and deliverables, as detailed in the FOA and proposed in your SOW; and
- You have developed and begun to implement your strategies for achieving your proposed project milestones and deliverables. For example, if you have received grant funding to carry out a project in which the main components involve career-oriented education and training activities, you will be expected to use this program development and implementation phase to fully execute your strategies regarding:

  - Participant outreach and recruitment;
  - Assessments and enrollment;
  - Education and training (classroom and non-classroom related);
  - Job placement and employment; and
  - Individual case management and follow up support services to enhance participant hiring and retention.

Reporting Grant Progress and Accomplishments – Performance and Expenditures

To document the work completed and the outcomes achieved as a result of ETA funding, ETA requires regular submission of progress reports throughout the grant's Period of Performance. The frequency of reporting is either dictated by project guidelines or prescribed by grant program regulations. As a general rule, you are required to submit progress reports on a quarterly basis, and the reporting schedule is typically mentioned in your Grant Award Package. Specific details about expectations and requirements for performance reporting by ETA grantees are discussed comprehensively in the next section of this guide, *Performance Reporting for Tracking and Achieving Outcomes*. Your FPO is also available on an ongoing basis to help you determine an appropriate format and schedule for your progress reporting.

- **Accessing Funds: Payment Management System (PMS)**

  Grant Award Letters include information on how to access funds through the PMS, with instructions on how to create a PMS account, or, if you already have an existing account, who you should contact and what additional information is needed from you to initiate payments. Additional details about the PMS and forms that must be completed to access the system may be found at http://www.doleta.gov/grants/payment_information.cfm.

  Please note that the PMS system requires you to use a separate password and PIN number than the ones you use to access the Financial Reporting System, which you will use to submit quarterly financial reports. (Additional details about the Financial Reporting System are covered in the following section.)

Figure 2: Payment Management System Opening Webpage

- **Financial Reporting: E-grants System**

  In line with the Uniform Administrative Requirements described in the previous section, grantees are required to submit reports about grant-related financial expenditures on a quarterly basis no later than 45 calendar days after the end of each reporting period (see Figure 3 below). Competitive grant recipients are expected to use OMB-approved Form ETA-9130 to prepare your financial reports, unless otherwise instructed. A copy of Form ETA-9130 and related instructions are at http://wdr.doleta.gov/directives/attach/TEGL/TEGL_13_12_Att.pdf. Additional

links to the Financial Reporting System portal are at
http://www.doleta.gov/grants/financial_reporting.cfm.

Table 1: Financial Reporting System Submission Deadlines

Quarter	Quarter Start Date	Quarter End Date	Report Submission Due Date
1	January 1	March 31	May 15
2	April 1	June 30	August 14
3	July 1	September 30	November 14
4	October 1	December 31	February 14

If the deadline falls on a weekend or federal holiday, we recommend that you submit reports the business day before.

Your Grant Award Letter will include instructions on how to receive a password and PIN number that will enable you to access the E-grants Reporting System. Once the information requested in the award letter is sent to ETApassword.pin@dol.gov, you will receive confirmation of your password and PIN number in separate messages. Please note that the password and PIN numbers used for the Financial Reporting System will be different from the password and PIN number used to access the PMS system.

Keep in mind that ETA requires financial reports to be submitted on an accrual basis, meaning that revenues and expenses are recognized when products are delivered or services are provided (and there is a reasonable expectation that cash will be received or paid), rather than at the time that cash is actually received or paid. Even if you do not operate your accounting system under an accrual basis, you are still required to track and report your financial transactions on an accrual basis to the ETA.

To help grantees better understand and meet the ETA financial reporting and accrual accounting requirements, ETA offers a number of on-line training tutorials, archived Webinars, and other informational resources aimed at answering grantees' most "frequently asked questions." Additional training on ETA's financial reporting and accrual accounting requirements is located at: http://www.doleta.gov/grants/resources.cfm or https://etareporting.WorkforceGPS.org/page/financial.

Please note: You have 90 days after the last day of the period of performance to charge the grant for allowable costs incurred on or before the last day of the period of performance. However, no costs incurred after the last day of the period or performance may be charged to the grant. This includes costs to closeout the grant.

Figure 3: Sample Reporting System Webpage

How to Get Started - ETA's Online Resources for Grant Management

When beginning your search for grant management guidance, the first step is to peruse ETA's Web page for ETA grantees at https://www.workforcegps.org/ or the dedicated community of practice Web pages for other grant programs. These sites serve as a central repository for training, technical assistance, and policy guidance on competitive national grant programs. They were created specifically so that grantees could receive instant access to relevant technical and policy guidance. Available resources include such items as grant-specific "frequently asked questions," fact sheets, archived Webinars, performance reporting guidance, newsletters, and useful examples and models from grantee peers. In many cases, these sites can provide the quickest and most direct way of obtaining an authoritative answer to your question. Additional information about ETA's on-line and virtual resources for grant management is also available on page 29 of this document, under the heading, "*Available Technical Assistance to Help You with Your Period of Performance.*"

- **Performance Reporting**

    ETA places a very high priority on maximizing successful grant performance and relies heavily on frequent performance reporting to measure and track your success toward achieving

satisfactory outcomes. ETA grantees are typically required to submit quarterly two progress reports that track performance throughout the entire lifetime of the grant. These include:

- A **narrative report** detailing key milestones and achievements attained during each given reporting quarter along with descriptions of any challenges encountered; and

- A **performance report** comprised of data related to a number of performance targets and measurements specifically designed to align with your grant's SOW and individual performance objectives. Categories of data recorded in your quantitative reports might include such data fields as:
  - Total grant participants served;
  - Total participants beginning and completing education/training activities;
  - Total number of credentials attained by participants; and
  - Total number of participants who secured and/or retained employment.

All grantees must agree to comply with DOL/ETA reporting requirements. Upon grant award, the Program Office will provide detailed information on the quarterly submission process, the system for submitting reports, and detailed guidance about the data and other information that is required to be collected and reported on during your grant's Period of Performance. Please also refer to the FOA for requirements for reporting, specific to your grant program.

Timing of Performance Reports

You are required to file both narrative and quantitative performance reports each quarter throughout your grant's Period of Performance. Reports containing pertinent information and data about the preceding quarter's activities should be submitted no later than 45 days after the end of each calendar quarter, as illustrated in Figure 4. Note: Performance reports and financial reports share the same submission deadlines.

Table 2: Performance Reporting Timeframes and Submission Deadlines

Quarter	Quarter Start Date	Quarter End Date	Report Submission Due Date
1	January 1	March 31	May 15
2	April 1	June 30	August 14
3	July 1	September 30	November 14
4	October 1	December 31	February 14

If the deadline falls on a weekend or federal holiday, we recommend that you submit reports the business day before.

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.

The Value of Performance and Outcomes Reporting

Systematic and frequent reporting of performance metrics allows ETA to assess and measure performance across grantees and across individual grant initiatives, which both permit ETA to keep key political stakeholders informed about the positive workforce outcomes resulting from ETA's strategic investments and allow it to readily identify and implement needed improvements in the administration and delivery of its grant initiatives. Meanwhile, from a grantee perspective, the ability to track performance so closely throughout the grant's life cycle either verifies that your grant is moving in a positive direction to meet the needs of participants and key stakeholders appropriately or allows you to identify the necessary corrective measures to improve the likelihood of success during the remainder of the grant's Period of Performance.

Beyond the short-term benefits of goal alignment and enhanced prospects for success in your individual grant, the practice of frequent performance reporting offers additional dividends in terms of longer-term project resilience and sustainability. By accumulating such fine-tuned information on the grant's performance and outcomes, you can help your organization strengthen and expand its workforce development strategies as follows:

- Demonstrate the positive outcomes of the grant activities to investors and partners to help ensure sustainability of the project and partnerships;
- Illustrate the return on investment of the grant to employer partners, which is an important factor in maintaining existing, and securing new, partnerships and resources; and
- Use collected data to adopt a model of continuous improvement in your management and implementation of grants by establishing a regular practice of identifying barriers to success, soliciting feedback from partners and participants, and implementing corrective measures as needed to ensure that the grant is best meeting stakeholder needs.

Please be aware that past performance reporting practices by grantees exert an increasing influence on future award decisions. There is a growing trend, when evaluating suitability for new grant awards, in favor of considering the track record of past grantees in submitting complete and timely performance reports and meeting planned performance measures.

Monitoring of Your Grant

ETA grantees can expect to be monitored at least once (and, perhaps, more frequently) during the grant's Period of Performance, either through an on-site monitoring review or an Enhanced Desk Monitoring Review (EDMR). ETA uses monitoring to verify that grantees are:
- Complying with Federal statutes, regulations, and grant terms and conditions;
- Adhering to Federal financial and administrative requirements and cost principles;
- Meeting the programmatic requirements laid out in the grant's FOA; and
- Meeting performance goals established in the SOW.

An entrance meeting is held and each element of the monitoring process is conducted and documented in the ETA Core Monitoring Guide, which is the primary tool FPOs use to review any ETA-funded grant activity. The guide is organized around five generic core activities:

1. Design and governance;
2. Program and grant management systems;
3. Financial management systems;
4. Service/Product delivery; and
5. Performance accountability.

Each core activity is, in turn, organized around generic program requirements derived from legislation, regulations, or promising practices that relate to that core activity. These requirements or expectations are called *objectives.* Each objective is then followed by a set of related *indicators*, which are criteria or characteristics associated with the successful attainment of the corresponding objective. Indicators either denote compliance with mandatory program requirements or effectiveness in meeting the stated criterion. By using this approach, FPOs are able to use their monitoring interviews with grantees both to identify early signs of successful performance and as an "early warning system" that a particular grantee organization may require further intervention and coaching. The full guide used by FPOs during monitoring reviews, which provides a comprehensive overview of the process and the intent behind it, may be viewed and downloaded from the following address: http://www.doleta.gov/regions/reg02/documents/OSID%20Conference/Resource%20-%20Core-Monitoring-Guide.pdf.

Monitoring ensures that the grant is implemented in alignment with approved and established policies and procedures. Further, the monitoring process also provides an opportunity for ETA, contract, or other Federal agency personnel to engage more deeply with you and your grant partners and work together to enhance your prospects for success as well as the success of the entire grant program. For example, the results of a monitoring review might be used to identify which available technical assistance resources would be most beneficial to you (described further in a later discussion on *Available Technical Assistance to Help You with Your Period of Performance)* or if you have adopted practices that might benefit other grantees.

Legally you must be contacted at least 7 days prior to the expected timing of a monitoring review, though, ETA usually gives grantees at least 30 days notice. In this notice, you will be provided with the specific dates and information of the review, the types of interviews that will be conducted and the materials that will be reviewed. Depending on the focus on the review, ETA will usually request to review the following information:

- Participant files;
- Contracts with subrecipients;
- Financial documents;
- Products developed;
- Project implementation tools;
- Allocation of expenditures; and
- Policies, procedures, and practices related to performance and financial management.

Common issues and concerns that surface during a monitoring review of grantees include:
- Failure to report financial expenditures on an accrual basis;

- Absence of written policies and procedures for program and fiscal functions; or failure to adhere to written policies and procedures;
- Failure to request Grant Officer approval prior to purchasing equipment; and
- Failure to provide sufficient documentation to support the need for a particular grant expenditure.

Types of Monitoring

Monitoring typically occurs during the mid-point of your grant's Period of Performance, can occur onsite or by EDMR. However, monitoring can take place at a different point during the Period of Performance, as deemed appropriate by ETA. Additional reviews or on-site visits may be considered depending on the oversight requirements of a specific grant program, if a grantee is new, and/or if a grantee is considered to be "at risk" for any of the following reasons:

- **Grievance:** a source or entity files a grievance or complaint against the grantee/program that challenges the integrity of the grant's management;

- **Financial:** the grant has potentially questionable expenditures and/or cumulative expenditures that are not proportionate to the amount of time that has elapsed since the receipt of the award;

- **Performance:** the grant is significantly off-track in achieving its goals or benchmarks;

- **Reporting:** the grantee has a history of reporting expenditures or performance data inaccurately or has failed repeatedly to submit complete reports; or

- **Other:** issues or concerns that may undermine the grant's compliance with financial, administrative, performance, or program design requirements.

Monitoring reviews (onsite or EDMR) usually take place over 3-5 days, with the exact number of days varying in line with the size and scope of your grant

Post-Monitoring Procedures

After the monitoring process is completed, and all information is reviewed, an exit meeting will be held. Within 45 days of the exit, you will receive a monitoring report from ETA that will include: background information (when the monitoring occurred, where it took place, and who participated); compliance findings, if any were identified, and required grantee action for compliance findings, along with the related response due date. The report may also include other observations that are not compliance findings, as well as promising practices.

Available Technical Assistance and Training to Help You with Your Period of Performance

As an ETA grantee, in addition to technical assistance provided collaboratively by the National and Regional offices, you will benefit from a variety of technical assistance tools and resources to support the successful rollout and performance of your grant-funded project(s). Much of the technical assistance offered is customized to take the specific needs and requirements of the grant program

into account so that you are able to manage the grant more efficiently and be better prepared to achieve performance targets.

Typical examples of technical assistance offered to ETA grantees include:

- **New Grantee Orientation:** This training event, held shortly after the official notification of grant awards, is required for key personnel responsible for grant implementation, compliance, and oversight. The orientation helps grantees better understand which core program components are required to meet ETA expectations for successful program service delivery and thoroughly addresses expected obligations and restrictions regarding fiscal and administrative compliance. These events may be held as live meetings or as virtual gatherings.

- **National and Regional Training Events (in-person, telephonic, or virtual):** These periodic events provide opportunities for you to receive supplemental intensive training on core program, fiscal, and administrative requirements along with the opportunity to learn about best practices, gain exposure to new trends on the horizon, and interact with your grant program peers and Federal Project Officers.

- **Virtual and On-line Technical Assistance:** The WorkforceGPS electronic Web space, ETA's one-stop information clearinghouse, offers grantees and other key ETA stakeholders timely and convenient access to a wide variety of technical assistance tools, materials, on-line learning events, and virtual peer networks aimed at supporting successful workforce development outcomes. ETA grantees will want to quickly establish a free account on WorkforceGPS and sign up to receive updates from their grantee community. The account also allows you to register for webinars, save materials you reference often, and participate in discussions within your grantee community.

  From the top of the WorkforceGPS landing page, access these resources by clicking one of these tabs:

  - **ETA Grants** or **Communities:** the main menu for ETA's Community of Practice (CoP) sites, where you can learn, ask questions, and share information with fellow grantees or members of other topical interest groups. Sample resource materials available from the grant-specific CoP sites include such items as "frequently asked questions," fact sheets, performance reporting guidance, and newsletters provided by the ETA National Office along with useful examples and models provided by peers.

  - **Resource Library:** the main search engine for WorkforceGPS, where you can browse or search for specific materials by category, resource types, or keyword.

  - **Workforce System Strategies:** allows you to browse and search for research evidence that may be useful in providing guidance for successful program design and implementation.

- **Grantee Coaching:** These activities include one-on-one or group training in specialized areas focused on enhancing knowledge and skills that support successful program implementation.

The need for customized coaching services may be identified by grantees, FPOs, consultants, or coaches working under contract with ETA. Coaching is primarily used as a way to address areas of concern that emerge early in the grant Period of Performance that suggest potential risk of non-compliance or failed implementation of grant objectives.

SECTION 4

MODIFYING GRANTS

Grant Modifications

Grant recipients must request and obtain prior written approval for most revisions to an original program plan or budget allocation. Primary categories of activity that require prior authorization include:

- Change to the Statement of Work (SOW)
- Budget Realignment[1]
- Purchase or Lease of Equipment
- Change of Authorized Signatory
- Change of Address
- Change of Organization/Institution Name
- Change to Work Site (YouthBuild grants only)
- Changes to Indirect Cost Rate Agreement/Incorporation of Indirect Cost Rate Agreement
- Period of Performance Extension

> **Checklist for Modification Request Letter**
>
> ✓ Step 1 – Call your FPO
> ✓ Prepare the letter on the organization's letterhead
> ✓ Address the letter to your Grant Officer
> ✓ Include a written description and justification for each proposed change
> ✓ E-mail a draft of the letter to your FPO for feedback
> ✓ E-mail the final letter signed by your grant's Authorized Signatory to your FPO
> And, if relevant:
> ✓ Provide an updated project timeline
> ✓ Provide an updated budget narrative
> ✓ Provide an updated SF-424A form

To initiate a modification request, prepare a formal letter of request addressed to your Grant Officer on your organization's letterhead and send a draft by e-mail to your FPO, who will review and provide feedback (if any), then submit your final letter signed by your Signatory Authority to your FPO who will forward the letter to your Grant Officer. The subject line of the letter should include the requested modification type(s), grant name, and grant number, while the body of the letter should outline the nature of the requested modification(s) and include a separate written justification for each modification requested. In addition, the letter should be signed by the individual who is serving as the Authorized Signatory for your grant. Please note that a verbal discussion and/or commitment from your FPO or Grant Officer may not be substituted for a formal, written modification request.

The Modification Process, Step-by-Step

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[1] In accordance with Special Clause #1 in the Grant Agreement, a formal modification must be requested and approved for any proposed change in the amounts budgeted for wages, salaries, fringe benefits, and indirect costs or any increase or decrease of more than 20 percent to any other single line item.

1. Call your FPO to discuss the need for a modification and to verify the documentation/format needed to submit it.

2. Submit a draft of the required modification letter and related documents to your FPO by e-mail, following the format instructions listed in *the Checklist for Modification Request Letter* sidebar above.

3. Your FPO reviews the request letter and provides feedback, if needed.

4. If indicated by your FPO, revise your request letter/package and submit the signed modification request[2].

5. Once all of the issues and questions have been resolved, your FPO submits the modification request for regional management review.

6. Once the regional management team gives approval, your FPO forwards the modification request to your Grant Officer for final review.

7. Your Grant Officer reviews the request and may ask for additional information or revisions.

8. If there are no additional questions, the Grant Officer approves and signs the modification. Both you and your FPO will receive an electronic copy of the modification via e-mail.

9. You are now free to implement your requested changes.

As a general rule, the modification process takes between 30 and 60 days to complete. Requested changes cannot be implemented until final approval from the Grant Officer is provided. You can request more detailed technical assistance on this topic from your FPO.

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[2] Certain types of modifications (e.g., any changes to your SOW) may require additional approval from the Program Office staff. Your FPO works in partnership with Program Office staff and will let you know if the Program Office has additional questions related to your modification request.

SECTION 5

GRANT CLOSEOUT PHASE

Once the grants Period of Performance ends, the grant moves to the closeout phase. The grant closeout phase is the period of time in which your Closeout Grant Officer, in cooperation with your FPO, reviews the grant's status to ensure that all of the required work under the grant is complete and that all outstanding financial and administrative obligations are met. During the closeout phase, your organization may pay bills for those costs incurred during the period of performance. Your organization may not incur additional direct costs during the closeout period (i.e. after the period of performance has expired).

The official closing of the grant only occurs after ETA personnel determine and certify that all required grant obligations and responsibilities are complete.

Step-By-Step Guide to the Closeout Process

At least 15 days before the end of the grant's Period of Performance, a Grant Closeout Specialist from ETA's National Grant Closeout Unit will send electronic copies of the closeout notification and the grant closeout system end-user manual to your grant's Authorized Signatory and/or to any other contacts provided for quarterly financial reporting purposes. This closeout notification message will contain the name, telephone number, and e-mail address of the Closeout Specialist assigned for your grant closeout. Though Grant Closeout Specialist will be your primary point of contact during the closeout process, your FPO will be copied on this notification and will inform the Closeout Specialist about any Period of Performance extensions that may be in place for your grant. If your organization does not receive a closeout notification and a grant closeout system end-user manual before your grant expires, please alert your FPO immediately and your FPO will contact the Grant Closeout Unit. Please ensure that your FPO has the accurate email address for your organization's authorized signatory at the time of close-out for proper notification.

*Please note that the closeout financial report (Closeout ETA-9130) is **a separate document** from the final financial report ETA-9130.*

*The final financial report ETA-9130 is **due within 45 days** of the expiration of your grant (or the end of the quarter in which you expended all remaining funds), following the same submission schedule as all other previous quarterly financial reports for your grant.*

*In contrast, the closeout financial report (Closeout ETA-9130) is intended to accompany the closeout package and is **due within 90 days** of the expiration date of your grant.*

Once your organization receives the closeout notification, you are expected to submit all required closeout documents via the on-line grant closeout system within 90 days of the grant's expiration date and send them by e-mail to your assigned Grant Closeout Specialist. Required closeout

documents include a certified closeout financial report (Closeout ETA-9130), the closeout package (described in greater detail in the "Certification of Closeout Package" section below), and any other relevant supporting documents, such as a government property (list of equipment) inventory list and indirect cost rate agreements and calculations (break down of calculations of costs by year), if applicable.

Certification of Closeout ETA-9130 Report: to certify your organization's closeout ETA-9130 report, the grant's Authorized Signatory should first log into your Financial Reporting System and find the grant's final quarterly ETA-9130 report. He/she should then open the final ETA-9130 report (clicking *view/modify* to open) and then click on the hyper link "closeout" located in Box 6 of that report. Once the Authorized Signatory verifies that all data in the closeout ETA-9130 report was entered correctly, he/she should certify the Closeout ETA-9130 report with your organization's PIN number and then select the "Yes" option in Box 6 of the final ETA-9130 report. This information should then be submitted to the Financial Reporting System.

Certification of Closeout Package: to certify your organization's closeout package, the Authorized Signatory will need to access the Grant Closeout System using the following URL: http://www.etareports.doleta.gov/CFDOCS/grantee_prod/reporting/index.cfm. He/she will then need to enter the same password used to log into the Financial Reporting System. Once on the home page, the Authorized Signatory should click on the link "go to closeout grants" located in the upper right corner of the webpage. Then select the appropriate grant number from the drop down menu and click to continue.

All required forms posted in the Grant Closeout System must be completed and submitted via the on-line system within 90 days of the expiration of your grant. They include the following six forms for **non-governmental grant recipients**:

- Grantee's Release
- Grantee's Assignment of Refunds, Rebates, and Credits
- Government Property Closeout Inventory Certification
- Grantee's Detailed Statement of Costs
- Grantee's Close-out Tax Certification
- Grantee Submittal of Closeout Documents

Additional forms for **governmental grant recipients** to submit:

- Grantee Release
- Government Property Closeout Inventory Certification
- Grantee Submittal of Closeout Documents

Once you have submitted all of the required closeout documents, your Grant Closeout Specialist will conduct a financial analysis to determine whether or not your cumulative grant expenditures are in alignment with grant obligations by reviewing and reconciling all payments. The Closeout Specialist will also review your closeout documents and work with your FPO to ensure that the grant's administrative cost allocations are in compliance with stated limitations, any matching fund

requirements were met, equipment purchases received prior approval, and any performance issues were resolved. Once the closeout process is complete, the Closeout Specialist will send a preliminary settlement notification e-mail informing you that ETA has officially closed the grant. Any unresolved issues discovered during this analysis may result in your organization owing a debt to the U.S. Government.

As noted in Section 3: You have 90 days <u>after</u> the last day of the period of performance to charge the grant for allowable costs incurred <u>on or before</u> the last day of the period of performance. However, no costs incurred after the last day of the period or performance may be charged to the grant. This includes costs to closeout the grant.

- **Records Retention**

    Grantees must follow Federal guidelines on record retention, which require that financial records, supporting documents, statistical records, and all other non-Federal entity records pertinent to a Federal award must be retained for a period of three years from the date of submission of the final expenditure report or, for Federal awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, respectively, as reported to the Federal awarding agency or pass-through entity in the case of a subrecipient.

    Below is a link to the federal regulations, including related exceptions to the required time frame for retaining records.

    http://www.ecfr.gov/cgi-bin/text-idx?SID=fffceffa2c3b31de225caf45f95cc00e&mc=true&node=sg2.1.200_1332.sg6&rgn=div7

SECTION 6

EVALUATION - WHAT DO I NEED TO KNOW AS A GRANTEE?

To enhance the likelihood that funded projects will identify effective workforce education and training strategies and models that can be replicated broadly throughout the country, ETA places a high priority on evaluating program results to assess whether projected goals were met and determine which models were most effective in yielding positive labor force outcomes. This objective evaluation of research evidence subsequently helps inform future program direction and funding decisions. As part of this effort, ETA often selects some portion of grantees to participate in a comprehensive and rigorous evaluation of funded program results. This affects grantees in the following respects:

- By accepting grant funds from ETA, you implicitly agree, as a condition of the award, to participate in a national evaluation by ETA following the Period of Performance, should your organization be selected for that purpose. Such evaluations are carried out by an independent body selected and hired by ETA (see grant term #5 of your grant agreement).

- To permit comprehensive national evaluations of funded grants following the Period of Performance, you must maintain and share with the designated evaluators or relevant ETA personnel all collected data records on participants, employers, funding, and outcomes.

- Records about enrollment and training courses must be maintained at a participant level.

- Where appropriate, you must also maintain personally identifiable participant information in secure conditions.

- ETA reserves the right to make publicly available all results of the program evaluation and supporting aggregate data.

Key Takeaways About Evaluation

Acceptance of an ETA competitive grant implies consent to future participation in a national evaluation organized by ETA, and carried out by an independent organization

Grantees must maintain records of individual participant data, including PII and training/courses taken

Grantees must maintain records of any data carried out by third-party project evaluators during the Period of Performance for their funded projects

ETA grantees are responsible for adhering to a number of uniform regulations on the use of grant funds, which range from restrictions that apply to only one individual grant program to those that apply to all recipients of Federal funds. This section is intended to clarify the nature and scope of eligible grant uses – and the types of restrictions that you can most frequently expect to encounter as a recipient of ETA funds – so that you are more fully equipped to plan your grant activities and budget in alignment with existing requirements.

The Office of Management and Budget (OMB) recently completed the rule making process to combine the OMB Cost Principles and Administrative Guidance into one regulation – the Uniform Guidance (UG). The UG is located at 2 CFR 200 with the exceptions for DOL at 2 CFR 2900.

Cost Principles and Administrative Requirements (all ETA grantees)

Cost principles are a set of government-wide rules that apply to all ETA grantees, as outlined in 2 CFR 200 and 2 CFR 2900, that define the conditions under which educational institutions, non-profit organizations, and government agencies may charge costs within Federally-funded grants. (For-profit entities also follow these principles under DOL exception 2 CFR 2900.2.) These regulations provide guidance to help you determine whether specific planned expenditures are allowable, unallowable, or allowable with conditions. The core foundation of these government cost principles is the "prudent person" rule, meaning that he/she would find the costs to be reasonable, necessary, and allocable (of direct benefit) to the grant. Furthermore, the allocation of expenditures that your organization charges against a Federally-funded grant must be consistent with the way that your organization allocates expenditures across all of your programs.

Uniform Administrative Requirements, as stated in 2 CFR 200 and codified by ETA regulations at 2 CFR 2900, set forth standards for obtaining consistency and uniformity across Federal agencies in the administration of grants and agreements with state and local governments, hospitals, higher educational institutions, and other non-profit organizations. Provisions are applied by Federal agencies to grant recipients, who in turn apply the provisions to subcontractors performing substantive work under their grants and agreements. Topics covered under Uniform Administrative Requirements include, but are not limited to:

- Financial Management;
- Cost Sharing;
- Property Standards;
- Procurement;
- Records Access and Retention;
- Award Termination and Enforcement; and
- Closeout Procedures.

Specific Program Statutes

ETA operates under several pieces of authorizing legislation to administer its grant programs. While WIOA remains the source of authorizing legislation for the majority of ETA's grant programs, the range of legislative authority extends to the following statutes. Your organization should select the applicable statute based on your grant award (if not under WIOA):

- American Competitiveness and Workforce Improvement Act of 1998 (Statute)
- The Immigration and Nationality Act (Statute)
- The National Apprenticeship (Fitzgerald) Act of 1937 (Statute)
- The Wagner-Peyser Act of 1933 (105-220) (Statute)
- The Older Americans Act of 2006, Title V (Amendments) and Older Americans Act of 1965 (Statute)
- Work Opportunity Tax Credit (Statute)
- Unemployment Insurance (Statute)

As discussed previously, each of these pieces of legislation may contain conditions or restrictions on fund use that are specific to that legislative authority, so it is important to familiarize yourself with the basic parameters that are associated with your particular grant program.

Agency-Level Requirements

- **Program Regulations**

  Program regulations are crafted and adopted by Executive Agencies such as ETA to implement a Federal statute or amend information in an established rule. The process used by Executive Agencies to implement statutes or amend existing rules is generally referred to as "rulemaking" and typically involves a lengthy and transparent process of public review and comment. You can track upcoming and expected regulatory activities by consulting the list that ETA updates regularly throughout the year, found at: http://www.doleta.gov/reports/dpld_regulatory.cfm.

  To determine which program regulations are applicable, you should refer to the grant's terms and conditions, as described in the Grant Award Package. Additional questions should be forwarded directly to your FPO.

- **ETA Advisories**

  ETA uses its Advisory system to disseminate the Agency's interpretations of Federal laws, procedures, administrative requirements, and other relevant technical information to state workforce agencies, direct grant recipients, and other appropriate stakeholders. Advisories, searchable by year, may be viewed and downloaded from http://wdr.doleta.gov/directives/.

  Of particular importance to grantees are the following types of advisory notices:

  - **Training and Employment Guidance Letters (TEGLs)** transmit policy and operational guidance. These have the force of regulation and must be followed.

- **Training and Employment Notices (TENs)** communicate announcements of meetings, publications, or general information. These are informational in nature.

- **Unemployment Insurance Program Letters (UIPLs)** provide policy and technical guidance specific to the UI program.

Complaint and Appeals Process

Most grantees are required to implement a process to review and respond to any complaints received from program applicants, program participants, and other interested parties. Many grantees choose to comply with this requirement by including in orientation packets information about how to submit a complaint and by making copies of complaint procedures available at customer-friendly locations, such as front desks or welcoming areas, as appropriate. In all cases, grantees are expected to make "reasonable efforts" to ensure that information about the complaint process is accessible to and easily understood by all stakeholders.

To determine if this is required for your grant program, you should refer to the grant's terms and conditions, as described in the Grant Award Package. Additional questions should be forwarded directly to your FPO.

- **WIOA Grant Recipients**

As recipients of funds from a grant program that operates under WIOA authority (e.g., WIOA Adult, WIOA Dislocated Worker, WIOA Youth, National Farmworker Jobs Program, Indian and Native American Program, YouthBuild, National Emergency Grants, and WIOA pilot and demonstration grants such as Reentry Employment Opportunities and the Workforce Innovation Fund) will find most of the pertinent information about complaint and appeals procedures in WIOA Section 181(c) and the WIOA regulations at 20 CFR 667.600. The primary exception involves complaints of discrimination, which are handled by DOL's Civil Rights Center. The home page for the Civil Rights Center is: http://www.dol.gov/oasam/programs/crc/. Specifics about the process for pursuing discrimination-related complaints are located in WIOA Section 188 and/or 29 CFR part 37.

- **SCSEP Grant Recipients**

SCSEP grantees must follow the grievance and appeal process described in the Older Americans Act and its regulations (20 CFR 641.910). Steps involved in your grievance process must be outlined in your grant plan. If you receive a complaint from an applicant, program participant, or other interested party, you have up to 60 days from the date the complaint was filed to review the complaint and respond to the individual making the complaint. Individuals who do not receive a decision within 60 days from the date the complaint was filed have the right to appeal to ETA. ETA will investigate the case to determine if grievance procedures were followed and determine whether there was a violation of Federal law. Appeals may be sent to the

Employment and Training Administration, Office of Workforce Investment, 200 Constitution Avenue, NW, Room C-4510, Washington, DC, 20210.

- **Other Grant Recipients**

  Most grants (but not all) that are not authorized under WIOA still incorporate the WIOA administrative requirements, including grievance and complaint procedures, into the grant agreement. Grantees should review their grant award package thoroughly for information regarding specific complaint and grievance requirements. If grantees are not clear on such requirements, they should reach out to their FPOs for further guidance.

- **Special Requirements for Grantees Handling Complaints from Migrant/Seasonal Farmworkers in the Job Service Complaint System**

  Any individual, organization, or employee is entitled to submit a complaint from or on behalf of a migrant or seasonal farmworker in the Job Service Complaint System provided that the complaint alleges that a job service agency, an employer, or both have failed to comply with applicable job service (Employment Service) regulations. For instance, a farmworker may file a complaint because he/she was referred to a job and the employer did not pay the agreed upon wages. A farmworker might also file a complaint because the workforce system staff referred him/her to a lower-quality job than a non-farmworker. Grantees that receive farmworker complaints about workforce system actions should handle those complaints as they would other workforce system complaints. The state workforce agency should take, in writing, any complaints from migrant or seasonal farmworkers that allege violations of employment-related laws that are enforced by DOL's Wage and Hour Division (WHD) or Occupational Safety and Health Administration (OSHA), and it should refer the complaint to the appropriate regulatory agency for further action and resolution. The State Monitor Advocate will follow-up on these complaints to resolution. All other complaints alleging violations by employers of employment-related Federal, state, or local laws are logged by the state workforce agency and the complaints are referred to the appropriate enforcement agency. Complaints alleging that an eligible U.S. worker was discouraged from applying for a position, was not hired, was unfairly discharged from a position, or was otherwise discriminated against because of his/her immigration status by an H-2A[3] employer, may be referred to the United States Department of Justice, Civil Rights Division, Office of Special Counsel for adjudication in addition to any activity, investigation, and/or enforcement action taken by WHD or the state workforce agency. Further information and training about the Job Service Complaint System is available at https://www.WorkforceGPS.org/view/1001306643662117435/info or on the WorkforceGPS Agricultural Connections Resource Page at https://msfw.WorkforceGPS.org/.

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[3] The H-2A temporary agricultural program allows agricultural employers who anticipate a shortage of domestic workers to bring nonimmigrant foreign workers to the U.S. to perform agricultural labor or services of a temporary or seasonal nature.

APPENDIX B

ETA NATIONAL TOLL-FREE HELPLINE

1-877-US-2JOBS (1-877-872-5627)
TTY: 1-877-889-5627
Hours: Monday through Friday, 8 a.m. to 11 p.m. ET

ETA maintains a National Toll-Free Helpline to provide all Agency stakeholders with a reliable resource of consistent, accurate, and current information and assistance regarding its workforce initiatives and related support activities. English and Spanish speaking operators are available to answer any general questions concerning ETA programs and services or direct callers to the appropriate subject matter expert. Translation services for many other languages also are available upon request.

Agency	Toll-Free Number
Contact Center Number (General DOL Inquiries)	1-866-4-USA-DOL (1-866-487-2365) Hours: Monday to Friday, 8 a.m. to 8 p.m. EST
Employment and Training Administration (ETA)	1-877-US-2JOBS (1-877-872-5627) Hours: Monday to Friday, 8 a.m. to 11 p.m. EST
Job Corps (JC)	1-800-733-JOBS (1-800-733-5627) Hours: 24 hours a day, 7 days a week
Mine Safety and Health Administration (MSHA)	1-800-746-1553 Hours: 24 hours a day, 7 days a week
Occupational Safety and Health Administration (OSHA)	1-800-321-OSHA (1-800-321-6742) Hours: 24 hours a day, 7 days a week
Office of Disability Employment Policy (ODEP)	1-866-ODEP-DOL (1-866-633-7365) Hours: Monday to Friday, 8 a.m. to 8 p.m. EST
Office of Small and Disadvantaged Business Utilization (OSDBU)	1-888-9-SBREFA (1-888-972-7332) Hours: Monday to Friday, 8 a.m. to 8 p.m. EST
Veterans' Employment & Training Services (VETS) Service Desk	1-866-237-0275 Hours: Monday to Friday, 8 a.m. to 8 p.m. EST
Women's Bureau (WB)	1-800-827-5335 Hours: Monday to Friday, 8 a.m. to 8 p.m. EST
Speech and Hearing Impaired	
Contact Center TeleType Number (General DOL Inquiries)	1-877-TTY-5627 (1-877-889-5627) Hours: Monday to Friday, 8 a.m. to 8 p.m. EST
Additional Agencies	
Civil Rights Center (CRC)	1-202-693-6500 Hours: Monday to Friday, 8:00 a.m. to 5:00 p.m. EST
Employee Benefits Security Administration (EBSA)	1-866-444-3272 Hours: Monday to Friday, 8:30 a.m. to 4:30 p.m. EST
Office of Labor-Management Standards (OLMS)	1-202-693-0123 Hours: Monday to Friday, 8:00 a.m. to 5:00 p.m. EST
Office of Workers' Compensation Programs (OWCP)	1-202-693-0036 Hours: Monday to Friday, 8:30 a.m. to 4:45 p.m. EST
Wage and Hour Division (WHD)	1-866-4-US-WAGE (1-866-487-9243) Hours: Monday to Friday, 8 a.m. to 8 p.m. EST

The Department of Labor's electronic tools assist millions of Americans every month with their employment-related needs. These Web-based tools provide solutions for unemployed workers, career counselors, economic developers, educators, parents, students, businesses, workforce professionals, and job seekers.

America's Service Locator (www.servicelocator.org) connects people to local offices that provide employment and training services. It provides maps and driving directions to the nearest American Job Center, as well as unemployment insurance filing assistance. America's Service Locator has information on more than 20,000 local resources and offices for a variety of relevant services.

CareerOneStop (www.CareerOneStop.org) includes tools to help job seekers explore careers, investigate salary and benefit information, research education and training opportunities, plan a job search and browse job sites, write and improve resumes and cover letters, and prepare for a job interview. In addition, the CareerOneStop Web site provides links to national and state workforce and labor market information Web sites that contain local information resources and tools.

Competency Model Clearinghouse (http://www.careeronestop.org/competencymodel/) is designed to assist users in developing and utilizing competency models and career ladder/lattices for sector strategies. Guides contain background information, resources, and examples of uses, and can be used in worksheets or interactive tools on the site to develop curriculum, assess skill gaps and related workforce applications.

Get My Future (http://www.getmyfuture.org) is a mobile-friendly web application that helps youth plan their careers, explore education and training options, and search and apply for jobs. Developed with input from young adults and program providers, GetMyFuture.org includes career interest assessments, interactive informational videos, job search engines, a scholarship finder, and tips and best practices for employment. The app also connects young people to in-person career services and resources to overcome the challenges of addiction; homelessness; criminal conviction; or a lack of financial, family or community support.

My Next Move (www.MyNextMove.org) gives individuals three ways to explore careers, including an on-line O*NET interest assessment. It provides an easy-to-read, one-page profile of each occupation explored, highlighting important knowledge, skills, abilities, technologies used, simplified salary and outlook information, and links to find specific training and employment opportunities.

My Next Move for Veterans (www.MyNextMove.org/VETS) is designed for U.S. Veterans making the transition to civilian careers. It provides tasks, skills, salary information, job listings, and more for over 900 different careers. Veterans can find careers through keyword searches, by browsing industries that employ different types of workers, or by entering their military occupation code or title.

mySkills myFuture (www.mySkillsmyFuture.org) enables job seekers and intermediaries to match a worker's occupational skills and experiences with the skills needed in other occupations in order to facilitate career mobility and improve economic prospects, particularly for dislocated workers. For any occupation, users can find job listings in their local areas (by state or zip code) and click directly through to the hiring company's Web site. mySkills myFuture is designed for use as either a self-help tool or with the assistance of expert advisers. **O*NET On-line** (www.oneton-line.org) provides extensive information on the requirements and characteristics of over 900 occupations including identifying the latest technological skills along with describing the tasks, work activities, and general knowledge, skills and abilities used in those careers. It is particularly useful for writing skills-based resumes for job seekers, and skills-based job postings and position descriptions for businesses.

Veterans ReEmployment Portal on CareerOneStop (www.CareerOneStop.org/Vets) is designed to provide Veterans with employment, training, career planning, and financial and emotional assistance after military service. The site links Veterans to local resources as well as provides a military-to-civilian job search based on military job title or military occupation code.

Virtual Career Network (www.vcn.org) provides career exploration and training tools to help job seekers prepare for careers in healthcare, green jobs, and transportation. Job seekers can explore careers in those fields, identify education and training programs, access on-line courses, document their learning and experience to obtain credit for prior learning, and search for local jobs.

Worker ReEmployment Portal on CareerOneStop (www.CareerOneStop.org/Reemployment) is designed to assist impacted workers following job loss and to connect laid-off workers to needed resources for training, reemployment, career planning, and financial and emotional help during the process of job transition. The site also now includes a job search by location feature.

WorkforceGPS (www.WorkforceGPS.org) is an interactive online communication and learning technical assistance (TA) platform that was designed to communicate with and build the capacity of the public workforce investment system to develop and implement innovative approaches to workforce and economic development in the 21st century economy. This website, which offers resources and peer-to-peer connections, supplements other TA provided by ETA's national and regional staff to help the public workforce system, education professionals, and business.

Mi Proximo Paso (www.miproximopaso.org) is the Spanish-language version of My Next Move and gives individuals three ways to explore careers, including an on-line O*NET interest assessment. It provides an easy-to-read, one-page profile of each occupation explored, highlighting important knowledge, skills, abilities, technologies used, simplified salary and outlook information, and links to find specific training and employment opportunities.

Business Center on CareerOneStop (www.careeronestop.org/BusinessCenter) contains information on recruiting and hiring a skilled workforce, links to local training and educational institutions, a civilian to military "crosswalk" to assist in recruiting Veterans, information about workforce certifications, and a job description writer.

Mobile Versions of E-Tools: Five of the most popular E-Tools are now available for customers to access using any brand of smart phone or tablet:

1) **Find an American Job Center** (http://m.careeronestop.org/JobCenterSearch) allows users to quickly locate and contact their nearest American Job Center.

2) **Find a Job** (http://m.careeronestop.org/JobSearch) lets users search job listings in any local U.S. area. Job listings are updated daily and can be searched by job type or keyword within a city, state, or ZIP code.

3) **Veterans Job Search** (http://m.careeronestop.org/VeteransJobSearch) matches military job experience to civilian careers and then displays local job listings for those careers. Users search by their military job titles or their MOC/MOS codes and can view job listings by city, state, or ZIP code.

4) **Salary Finder** (http://m.careeronestop.org/SalaryFinder) provides average hourly wages or annual salaries by occupation and location. The data come from the Bureau of Labor Statistics' Occupational Employment Statistics program.

5) **Training Finder** (http://m.careeronestop.org/TrainingFinder) allows users to locate education and training programs in their local areas. Users search by occupation, program, or school and find contact information for programs.

Automatic Spanish Language Translations: In response to customer feedback, several E-Tool Web sites now have an automatic translation feature that allows users to quickly translate the pages into Spanish. The translation feature appears in the upper right corner of the following Web sites:

1) **CareerOneStop** (www.careeronestop.org) is a one-stop, on-line site for job search, career and training tools, and resources.

2) **Worker ReEmployment** (www.careeronestop.org/ReEmployment) provides employment, training, and financial assistance for laid-off workers.

3) **Veterans ReEmployment** (www.careeronestop.org/ReEmployment/veterans) provides employment, training, and financial help after military service.

4) **mySkills myFuture** (www.myskillsmyfuture.org) helps laid-off workers and other career changers find new occupations to explore.

APPENDIX D

RESOURCES AND CONTACTS

Resources for ETA Competitive Grants

To assist you during the period of performance with program design, ETA has developed several toolkits and helpful resources.

- Apprenticeship USA Toolkits
    - Resources to introduce you to apprenticeship along with its benefits for employers, workers, and the workforce system.
    - http://www.dol.gov/apprenticeship/toolkit.htm
    - https://www.doleta.gov/oa/employers/apprenticeship_toolkit.pdf

- Career Pathways Toolkits
    - Features key elements to help guide state and local teams develop a comprehensive career pathways system.
    - http://wdr.doleta.gov/directives/attach/TEN/TEN_17-15_Attachment_Acc.pdf
    - https://careerpathways.workforcegps.org/announcements/2016/02/05/14/21/The-Release-of-the-Career-Pathways-Toolkit-A-Guide-for-System-Development

- Sector Strategies Toolkit
    - To guide workfoce organizations to more effectively operationalize sector strategies.
    - https://businessengagement.workforcegps.org/resources/2016/04/12/13/53/Sector-Strategies-Implementation-Framework

- Competency Model Clearinghouse
    - To assist users with the development of competency models and career ladder/lattices.
    - http://www.careeronestop.org/competencymodel

- Financial Management and Other Online Training
    - Contains more than 25 online training modules from ETA.
    - https://www.workforcegps.org/online-training

Grant Program Mailboxes

ETA established convenient electronic mailboxes for each competitively-awarded grant program. If your FPO has asked you to contact the National Program Office directly, or if you have been prompted to contact the National Program Office in response to one of their formal training events, please use the following program-specific mailbox addresses or portals to submit your question or correspondence:

- *American Apprenticeship Initiative (AAI): apprenticeship.usa@dol.gov*
- *H-1B Technical Skills Training (TST): dsi@dol.gov*
- *H-1B Jobs Accelerator (JA): jobsaccelerator@dol.gov*
- *H-1B Ready To Work (RTW): RTW@dol.gov*
- *H-1B TechHire: techhire@dol.gov*
- *H-1B Strengthening Working Families Initiative (SWFI): SWFI@dol.gov*
- *Indian and Native American Programs (INAP): dinap@dol.gov*
- *National Farmworker Jobs Program (NFJP): NFJP@dol.gov*
- *Reentry Employment Opportunities (REO): reo@dol.gov*
- *Trade Adjustment Assistance and Community College and Career Readiness Training (TAACCCT): taaccct@dol.gov*
- *Workforce Innovation Fund (WIF): workforce.innovation@dol.gov*
- *YouthBuild (YB): youth.build@dol.gov*
- *Youth Career Connect (YCC): Ycc@dol.gov*

Incoming messages sent to these mailboxes are monitored on a continuous basis, and inquiries are routed to the appropriate individual(s) to ensure prompt response. Additional Mailboxes are created on an as needed basis.

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APPENDIX E
Glossary of Terms

AJC - American Job Center
CBO - Community Based Organizations
CFDA - Catalog for Federal Domestic Assistance
CY - Calendar Year
DOL - Department of Labor
DUNS - Data Universal Numbering System
EEO - Equal Employment Opportunity
EIN - Employer Identification Number
ETA – Employment and Training Administration
ETO - Employment & Training Order
FFATA - Federal Funding Accountability and Transparency Act
FOA – Funding Opportunity Announcement
FPB - Frances Perkins Building
FPO – Federal Project Officer
FY - Fiscal Year
GAO - General Accounting Office
GEMS – Grants e-Management System
GMS - Grant Management Specialist
GO - Grant Officer
HBCUs - Historically Black Colleges & Universities
ICR - Information Collection Request
ID - Initial Determination
IGO - Intergovernmental Organization
INAP - Indian Native American Programs
IP - Intellectual Property
JC – Job Corps
LMI - Labor Market Information
MOU - Memorandum of Understanding
MSFW – Migrant Seasonal Farmworkers
NFJP – National Farmworker Jobs Program
NICRA - Negotiated Indirect Cost Rate Agreement
NO – National Office
NOA - Notice of Award
NOO - Notice of Obligation
OA – Office of Apprenticeship
OAA - Older Americans Act

OGM - Office of Grants Management

OIG – Office of Inspector General

OMB - Office of Management & Budget

OSHA – Occupational Safety and Health Administration

PII - Personally Identifiably Information

PRA - Paperwork Reduction Act

PY - Program Year

RA – Registered Apprenticeship

RO – Regional Office

SAM - System for Award Management

SF - Standard Form

SWA - State Workforce Agency

TA - Technical Assistance

TEGL - Training & Employment Guidance Letter

TEIN -Training & Employment Information Notice

TEN -Training & Employment Notice

TIN - Taxpayer Identification Number

WDB - Workforce Development Board

WIOA - Workforce Innovation and Opportunity Act

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