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| <b>EMPLOYMENT AND TRAINING ADMINISTRATION<br/>ADVISORY SYSTEM<br/>U.S. DEPARTMENT OF LABOR<br/>Washington, D.C. 20210</b> | <b>CLASSIFICATION</b><br>Funding Vehicle |
|   | <b>CORRESPONDENCE SYMBOL</b><br>OA       |
|   | <b>DATE</b><br>April 14, 2020            |

**ADVISORY: TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 15-19**

**TO:** STATE GOVERNORS  
STATE WORKFORCE AGENCIES  
STATE WORKFORCE ADMINISTRATORS  
STATE APPRENTICESHIP AGENCIES  
STATE DIRECTORS, OFFICE OF APPRENTICESHIP  
STATE WORKFORCE LIAISONS  
STATE AND LOCAL WORKFORCE BOARD CHAIRS AND DIRECTORS  
STATE EDUCATION AGENCIES

**FROM:** JOHN PALLASCH   
Assistant Secretary

**SUBJECT:** Availability of Program Year 2019 Funding for State Apprenticeship Expansion Grants, "Building State Capacity to Expand Apprenticeship through Innovation"

**1. Purpose.** This Training and Employment Guidance Letter (TEGL) announces the availability of \$73 million in Program Year (PY) 2019 funds to States through tiered funding. The goal of these funds is to expand the national Registered Apprenticeship system by funding baseline activities that improve States' ability to serve, improve, and strategically scale the Registered Apprenticeship Program (RAP) model described in 29 C.F.R. parts 29, Subpart A, and 29 C.F.R.30; and to fund innovations aimed at using RAPs as a tool for developing the economy and building infrastructure.

Specifically, States will use grant awards to pursue the following goals and activities:

**A: Tier I (Required): Baseline Goals and Activities:** Every State applying that meets the application requirements will receive a base amount of funding (\$450,000 for States and \$300,000 for U.S. territories) to engage in activities to strengthen the structures supporting RAPs in their State. See Appendix III for details.

**B: Tier II (Optional): Innovation Goals and Activities:** ETA will award States as much as \$9 million if their application demonstrates improvements and innovations to RAPs in their State that spread the RAP model, develop infrastructure, and impact other significant policy issues. Applications must also credibly demonstrate that stated goals can be accomplished during the life of the grant. See Appendix III for details.

|                            |                                      |
|----------------------------|--------------------------------------|
| <b>RESCISSIONS</b><br>None | <b>EXPIRATION DATE</b><br>Continuing |
|----------------------------|--------------------------------------|

This TEGL also announces application procedures and provides guidance on the use of funds.

Beginning in Program Year 2020, the Department intends to award funds competitively through a Funding Opportunity Announcement. Further, if additional funds remain available after awards are made under this TEGL, ETA will use the remaining balance to award grants through other competitively awarded RAP funding opportunities announced by the Department in PY 2019.

Funds awarded come from the Department’s annual appropriated funds to develop and expand RAPs. This appropriation allows the Department to grant funds to “[e]xpand opportunities relating to apprenticeship programs registered under the National Apprenticeship Act[.]” This means recipients must spend these funds on activities that will create or assist in the creation of RAPs.

The term “State” means “any of the 50 States of the United States, District of Columbia, or any Territory or possession of the United States.”<sup>1</sup> For the purposes of this TEGL, territories or possessions of the United States are defined as Puerto Rico, U.S. Virgin Islands, Guam, the Commonwealth of the Northern Mariana Islands, and American Samoa.

2. **Action Requested.** States must submit applications responding to TEGL 15-19 including all required documents detailed in Appendix V to [www.Grants.gov](http://www.Grants.gov) no later than 11:59:59 P.M. E.D.T., May 21, 2020.
  
3. **Summary and Background.**
  - a. Summary – This TEGL solicits applications from States for the State Apprenticeship Expansion Grants, “Building State Capacity to Expand Apprenticeship through Innovation” grants.
  
  - b. Background – In June 2017, the President issued an Executive Order (E.O.) 13801, *Expanding Apprenticeship in America*, with a focus on preparing workers to fill both existing and newly created jobs, and to prepare workers for the jobs of the future.<sup>2</sup> Apprenticeship is an industry-driven, high-quality career pathway where employers can develop and prepare their future workforce, and apprentices can obtain paid work experience, classroom instruction, and a portable, nationally-recognized credential. The E.O. directs the federal government to “promote apprenticeships and effective workforce development programs.”

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<sup>1</sup> e-CFR 29:29.2 [https://www.ecfr.gov/cgi-bin/text-idx?SID=b9997eeaeab45b77ad8522923a1e0567&mc=true&node=se29.1.29\\_12&rgn=div8](https://www.ecfr.gov/cgi-bin/text-idx?SID=b9997eeaeab45b77ad8522923a1e0567&mc=true&node=se29.1.29_12&rgn=div8).

<sup>2</sup> Executive Order on Expanding Apprenticeships in America, available at <https://www.whitehouse.gov/presidential-actions/3245/>.

Expanding apprenticeships can help individuals gain the skills necessary to fill vacancies and help employers find skilled workers more easily and quickly. Research suggests several factors contribute to the current skills gap: a lack of people with fundamental employability skills; a lack of workers who have the specialized skills needed to fill many trade positions; and a lack of applicants in the fields of science, technology, engineering, and math (STEM) needed for many of today's jobs.<sup>3</sup> To address the skills gap, employers across all industries are increasingly turning to apprenticeship as a workforce development solution. With a 94 percent retention rate and proven return on investment, companies of all sizes are creating apprenticeship programs to train students and adults for careers of today and tomorrow.<sup>4</sup> Research has also shown a \$1.47<sup>5</sup> return on investment for every dollar an employer spends on apprenticeship; registered apprentices earn \$300,000<sup>6</sup> more during their career than non-apprenticeship workers; and registered apprentice completers earn on average \$70,000 per year,<sup>7</sup> about \$10,000 more than someone graduating with a degree.<sup>8</sup>

Other factors, including an aging workforce and technology changes, impact the unemployment rate in the country. The E.O. provides a roadmap for the government to address some of these concerns. Of note, the E.O. created a Task Force that provided several recommendations to best expand the apprenticeship model in America, including a recommendation on the identification and availability of capacity-building resources. The Task Force report indicates that the government should provide "clarification or alignment of funding availability (or both) via [Workforce Innovation and Opportunity Act] (WIOA), the Carl D. Perkins Career & Technical Education Act, Federal Work-Study, and/or the Federal Pell Grant Program, at a minimum."<sup>9</sup>

In addition to federal efforts, States have taken actions to share capacity-building resources and to encourage the alignment of multiple funding sources to support individuals entering apprenticeships. Most States have already developed apprenticeship

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<sup>3</sup> Business Roundtable, *Closing the Skills Gap*, available at <https://www.businessroundtable.org/policy-perspectives/building-americas-tomorrow-ready-workforce/closing-the-skills-gap>

<sup>4</sup> U.S. Department of Labor, *Apprenticeship Toolkit Frequently Asked Questions*, available at <https://www.dol.gov/apprenticeship/toolkit/toolkitfaq.htm#2e>

<sup>5</sup> U.S. Department of Labor, *Apprenticeship Toolkit Frequently Asked Questions*, available at <https://www.dol.gov/apprenticeship/toolkit/toolkitfaq.htm#2e>

<sup>6</sup> U.S. Department of Labor, *Apprenticeship Toolkit Frequently Asked Questions*, available at <https://www.dol.gov/apprenticeship/toolkit/toolkitfaq.htm#2e>

<sup>7</sup> [https://www.doleta.gov/OA/data\\_statistics.cfm](https://www.doleta.gov/OA/data_statistics.cfm)

<sup>8</sup> U.S. Department of Labor, *Apprenticeship Toolkit Frequently Asked Questions*, available at <https://www.dol.gov/apprenticeship/toolkit/toolkitfaq.htm#2e>

<sup>9</sup> *Taskforce on Apprenticeship Expansion Final Report to: the President of the United States*, May 10, 2018, available at <https://www.dol.gov/apprenticeship/docs/task-force-apprenticeship-expansion-report.pdf>

programs, while others have formed temporary work groups, advisory councils, or committees to study and better understand successes in apprenticeship and how state legislation could create these programs. Some States have also enacted laws to promote the alignment of apprenticeships with education systems, namely Career and Technical Education (CTE) programs within high schools. In 2019, 26 States enacted 49 bills promoting workforce development programs at the post-secondary educational level. Additionally, at least nine States introduced bills related to education and workforce development data.<sup>10</sup>

Since the passage of WIOA, the Department has published guidance, provided technical assistance, and encouraged States to integrate apprenticeships into workforce development strategies through their local workforce boards. Workforce boards are ideally positioned to integrate apprenticeships in local work-based learning agendas; boards and the American Job Centers (AJCs) they oversee already provide training, refer job seekers to employment opportunities, and work with businesses to find talent development solutions that meet the local labor demand.<sup>11</sup> By taking advantage of apprenticeship opportunities, boards and AJCs can expand work-based learning options to their jobseeker customers.

As it continues to provide guidance, the Department has allotted funds to States to promote the development or expansion of RAPs with a focus on integrating RAPs into the local economy as a go-to workforce development solution.

Expanding Registered Apprenticeships means strategically scaling the RAP model into new industries and occupations; increasing diversity of RAP populations by actively recruiting veterans and their spouses, as well as those demographic groups historically underrepresented within RAPs (including women, people of color, ex-offenders, and persons with disabilities); and extending into new communities, including rural and inner-city employers.

In 2016, the Department awarded \$50.5 million in State Apprenticeship Expansion (SAE) grants to expand RAPs to more workers and more companies and advance RAPs as a go-to talent solution within States' education and workforce development systems. Subsequently, the Department also awarded \$49 million to support continued state apprenticeship expansion efforts.

In 2019, the Department awarded \$73 million in Apprenticeship State Expansion grants to States to advance three goals: (1) increase the number of apprentices in RAPs nationwide; (2) support and encourage RAP diversification, including increasing the

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<sup>10</sup> Education Commission, Postsecondary Workforce Development Policy, <https://www.ecs.org/wp-content/uploads/Postsecondary-Workforce-Development-Policies.pdf>

<sup>11</sup> National Association of Workforce Boards and Jobs for the Future, *The State of Apprenticeship Among Workforce Boards*, available at [https://irp-cdn.multiscreensite.com/dc0a626e/files/uploaded/NAWB-Apprenticeship-092717\\_Final.pdf](https://irp-cdn.multiscreensite.com/dc0a626e/files/uploaded/NAWB-Apprenticeship-092717_Final.pdf)

diversity of apprentices and growing apprenticeship across industry sectors; and (3) support the integration of RAPs into State workforce development, education, and economic development strategies and programs, ensuring that Registered Apprenticeship is a viable career path for youth, adults, and career seekers, as well as a valuable workforce development strategy for businesses.

Building on these efforts, this TEGL creates a funding opportunity supporting statewide RAP expansion through tiered funding as described above.

4. **Program Authority.** Funds awarded come from the Department’s annual appropriated funds to develop and expand RAPs. This appropriation allows the Department to grant funds to “[e]xpand opportunities relating to apprenticeship programs registered under the National Apprenticeship Act[.]” This means recipients must spend these funds on activities that will create or assist in the creation of RAPs. Funding is authorized under the Department of Defense and Labor, Health and Human Services, and Education Appropriations Act, 2019 and Continuing Appropriations Act, 2019 (Public Law 115-245, Division B, Title I) and will be awarded under CFDA Number 17.285.
5. **Inquiries.** Please direct questions regarding this funding opportunity to Anu Mathew, Grants Management Specialist, Office of Grants Management, at [Mathew.Anu@dol.gov](mailto:Mathew.Anu@dol.gov), specifically referencing “ETA-TEGL-15-19.” Applicants should include a contact name, phone number and email with all questions to provide a means of response. This announcement is available on the ETA website at <http://www.doleta.gov/grants> and at <https://www.grants.gov>.
6. **References.**
  - National Apprenticeship Act (Fitzgerald Act)
    - Original Version (<https://www.doleta.gov/oa/history.cfm#original>)
    - Amended Version (<https://www.doleta.gov/oa/history.cfm#amendments>)
  - Labor Standards for the Registration of Apprenticeship Programs (Title 29, CFR Part 29, Subpart A) (<https://www.doleta.gov/OA/pdf/FinalRule29CFRPart29.pdf>)
  - Equal Employment Opportunity (EEO) in Apprenticeship (Title 29, CFR Part 30) (<https://www.doleta.gov/oa/eo/>)
  - Training and Employment Guidance Letter (TEGL) 13-16: Guidance on Registered Apprenticeship Provisions and Opportunities in the Workforce Innovation and Opportunity Act (WIOA) ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=9125](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=9125))
7. **Attachments.**
  - **Attachment I** (Required): Applies to all applicants:
    - I-1: Project Narrative Requirements – Tier I Baseline Goals and Activities
    - I-2: Work Plan Template
    - I-3: Template: Performance Outputs and Outcomes

- I-4: Budget Narrative Guidance
- I-5: Governor’s Letter
- I-6: Abstract
- **Attachment II (Optional):** Applies only to applicants applying for Tier II funding:
  - II-1: Project Narrative Requirements – Tier II: Innovation Goals and Activities
    - Select Only One Option: Up to \$3 million; \$3,000,001 to \$6 million; or \$6,000,001 to \$9 million
  - II-2: Work Plan Template
  - II-3: Template: Performance Outputs and Outcomes
  - II-4: Budget Narrative Guidance
- **Attachment III: Application Submission Checklist**

## 8. Appendices.

- Appendix I: Primary Goals and Activities of this Funding Opportunity and Definitions
- Appendix II: Award Information
- Appendix III: Goals and Activities
  - A: Tier I (Required): Baseline Goals and Activities
  - B: Tier II (Optional): Innovation Goals and Activities
- Appendix IV: Funding Restrictions
- Appendix V: Application Submission
- Appendix VI: Application Review and Award
- Appendix VII: Administrative Program Requirements
- Appendix VIII: ETA Evaluation
- Appendix IX: Reporting Requirements
- Appendix X: Grant Recipient Training
- Appendix XI: Agency Contacts
- Appendix XII: OMB Information Collection
- Appendix XIII: Resources

## **Attachment I-1**

### **A: Project Narrative Requirements – Tier I: Baseline Goals and Activities** *(all applicants)*

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

Please use the format below to develop your project narrative.

- For applicants applying to Tier I, the Tier I final narrative is limited to 10 double-spaced single-sided 8 x 11 inch pages with 12 point Times New Roman font and 1 inch margins. Applicants must number the Project Narrative beginning with page number “1”.

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

The following instructions provide all of the information needed to complete the Project Narrative. Carefully read and consider each section, and include all required information in your Project Narrative. You must use the same section headers identified below for each section of the Project Narrative.

#### **i. Current State Capacity of Registered Apprenticeship Programs (RAP) in the State:**

Provide a background on the landscape of current apprenticeship in your State, based on the most recent annual data:

- Number of Existing RAP Sponsors;
- Number of Existing RAPs;
- Key Industries and Occupations with RAPs;
- Number of registered apprentices;
  - Aggregate Apprentice Demographic Information (i.e., gender, race, ethnicity, underrepresented populations, including women, people of color, ex-offenders, and persons with disabilities)
- Current State Capacity/Structure for RAP Development/Outreach/Etc.;
- Current Pipelines into RAPs; and
- Current gaps, barriers, and challenges to develop or expand RAPs and/or the number of enrolled apprentices in a fiscal year.

#### **ii. Tier I Baseline Goals and Activities (Required):**

Each grant proposal must include strategies that address the required baseline goals and activities as described in Appendix III.

- How do your proposed strategies address activities regarding governance and operations of RAPs within your State?

- How do your proposed strategies address gaps in system alignment for RAP expansion?
- How do your proposed activities improve data sharing and data integrity?

Note: Grantees must reach agreement with the U.S. Department of Labor (DOL) on how they will report performance under this list of activities.

**iii. Staffing Plan and Organizational Structure:**

Provide a detailed description demonstrating your capacity to effectively manage each component of the program including a narrative portion and functional organizational chart as indicated below:

- Provide a detailed description demonstrating the lead applicant's capacity to effectively manage each component of the program. Include a project management plan and a communications plan for efficient and effective management of the project with all partners and staff. Demonstrate the capacity to establish effective procurement processes, systems, and procedures and those of any partners who will be providing any services or conducting any activities under the grant (if applicable); and
- Provide a detailed organizational chart that identifies the lead applicant, apprenticeship partnerships, and other proposed partners. The chart must describe the structure of the relationships of all partners involved in the project. The chart must also identify the proposed project's staffing plan to illustrate that partners have the capacity to support the lead applicant to carry out the proposed project. The staffing plan must describe the qualifications and experience of all executive and administrative staff, as well as other personnel such as board members, advisors, and consultants, to fulfill the needs and requirements of the proposed project. Such qualifications and experience must demonstrate the ability to manage a strategic partnership, including fiscal and administrative management, outreach, and promotion. The chart should be included as an attachment to the project narrative and does not count toward the 10-page limit for Tier I.



## Attachment I-2

### **B: Suggested Work Plan Template for Base Funding Goals and Activities** *(all applicants)*

Using the suggested work plan table format below, provide an overview of the activities, timelines, and key milestones. The work plan must clearly describe short-term, mid-term, and long-term milestones, and must include all of the following:

- **Project Goals:** The overarching achievements that will be pursued;
- **Milestones:** The key markers of grant progress. These are typically expressed in the form of an action or event marking a significant change or stage in development;
- **Key Activities:** The major activities of the State’s apprenticeship expansion strategies, including timeframes for expanding existing RAPs, deployment of new apprenticeship programs, and/or enrollment of new participants in apprenticeship training;
- **Outcomes and Deliverables:** The number of participants served, the required annual report, and other outcomes and deliverables of the project; and
- **Key partners:** The partners identified for key activities.

|                        |   |                                     |  |
|------------------------|---|-------------------------------------|--|
| <b>EXAMPLE GOAL:</b>   | <b>Baseline Goal 1: National Apprenticeship System Building</b><br>States can spend base funding on developing structures that ensure that all RAPs in the State have the features of high-quality apprenticeship described in 29 C.F.R. parts 29 and 30. |                                     |  |
| <b>Activity:</b>       |   | <b>Lead/Support Implementer(s):</b> |  |
| <b>Deliverable(s):</b> |   |                                     |  |
| <b>Milestones</b>      | <b>Timeframe</b>  | <b>Deliverable Dates</b>            |  |
|                        |   |                                     |  |
|                        |   |                                     |  |

|                      |  |                                     |  |
|----------------------|--|-------------------------------------|--|
| <b>EXAMPLE GOAL:</b> | <b>Baseline Goal 2: System Alignment for Apprenticeship Expansion</b><br>States can spend base funding to build statewide capacity to increase the number and quality of Registered Apprenticeships through stronger alignment with the education and workforce systems. |                                     |  |
| <b>Activity:</b>     |  | <b>Lead/Support Implementer(s):</b> |  |

|                               |                         |  |                                 |
|-------------------------------|-------------------------|--|---------------------------------|
|                               |                         |  |                                 |
| <b><i>Deliverable(s):</i></b> |                         |  |                                 |
| <b><i>Milestones</i></b>      | <b><i>Timeframe</i></b> |  | <b><i>Deliverable Dates</i></b> |
|                               |                         |  |                                 |
|                               |                         |  |                                 |

**Attachment I-3**

**C: Performance Outputs and Outcomes** (*all applicants*)

The performance outcomes measures indicated below must be included as an Attachment to the application. Applicants should provide performance outputs and outcomes, as appropriate for their proposed project.

DOL suggests the following format for applicants’ ease of use, although using this precise format is not required to receive a grant award:

| <b>A. Apprenticeship Employment &amp; Training Apprentice Performance Outcomes</b> |  |                               |        |
|--|--|-------------------------------|--------|
| 1.   | <b>Total participants served</b><br>Total number of all participants served (receiving a grant-funded service) in the program  | Year 1:<br>Year 2:<br>Year 3: | Total: |
| 1a.  | <b>Increasing Diversity of RAP</b><br>Total percentage of participants served in the program who are veterans and veterans’ spouses, as well as those demographic groups historically underrepresented within RAPs, including women, people of color, ex-offenders, and persons with disabilities. | Year 1:<br>Year 2:<br>Year 3: | Total: |
| 2.   | <b>Total participants who enter a RAP</b><br>Note: The total apprentices newly enrolled in education/training activities should not exceed the total apprentices served.   | Year 1:<br>Year 2:<br>Year 3: | Total: |
| 3.   | <b>Total registered apprentices who complete a RAP</b>   | Year 1:<br>Year 2:<br>Year 3: | Total: |
| 4.   | <b>Total participants who receive a degree, or other type of credential during the period of performance (including RA Completion Certificate)</b>   | Year 1:<br>Year 2:<br>Year 3: | Total: |

| <b>B. Expanding Apprenticeship Program Outputs</b> |   |                               |        |
|--|---|-------------------------------|--------|
| 1.   | <b>Total number of newly created RAPs</b>                   | Year 1:<br>Year 2:<br>Year 3: | Total: |
| 2.   | <b>Total number of newly created RAPs in a new industry</b> | Year 1:<br>Year 2:<br>Year 3: | Total: |

## Attachment I-4

### **D: Budget Narrative Guidance** *(all applicants)*

The Budget Narrative must provide a description of the costs associated with each line item on the SF-424A.

The Budget Narrative should also include a section describing any leveraged resources provided (as applicable) to support grant activities; however, any indicated leveraged resources will have no bearing on the proposal review, or funding decision. Do not show leveraged resources on the SF-424 and SF-424A.

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

1. Personnel – List all staff positions by title including the roles and responsibilities. State the annual salary of each person, the percentage of each person’s time devoted to the project, the amount of each person’s salary funded by the grant and the total personnel cost for the period of performance.
2. Fringe Benefits – Provide a breakdown of the amounts and percentages that comprise fringe benefit costs such as health insurance, FICA, retirement, etc.
3. Travel – Specify the purpose, number of staff traveling, mileage, per diem, estimated number of in-state and out-of-state trips and other costs for each type of travel.
4. Equipment – Equipment is not an allowable cost under this funding announcement and this line must be left as zero.
5. Supplies – Supplies include all tangible personal property other than “equipment.” The detailed budget should identify categories of supplies (e.g., office supplies). List the quantity and unit cost and total cost per item.
6. Contractual – For each proposed contract and subaward, specify the purpose, activities, and estimated cost. Under the Contractual line item, delineate contracts and subawards separately. Contracts are defined according to 2 CFR 200.22 as a legal instrument by which a non-federal entity purchases property or services needed to carry out the project or program under a federal award. A subaward, defined by 2 CFR 200.92, means an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a federal program.
7. Construction – Construction costs are not allowed and this line must be left as zero. Minor alterations to adjust an existing space for grant activities (such as a classroom alteration) may be allowable. DOL does not consider this as construction and the costs must be shown on other appropriate lines such as Contractual.

8. Other – List each item in sufficient detail for DOL to determine whether the costs are reasonable or allowable. List item, such as stipends or incentives, not covered elsewhere.

9. Indirect Charges – If indirect charges are included on the SF-424A budget form, a Negotiated Indirect Cost Rate Agreement (NICRA) or Cost Allocation Plan (CAP) must be included as well as an explanation of how the indirect costs are calculated. This explanation should include which portion of each line item, along with the associated costs, are included in the applicants cost allocation base. Also, a current version of the NICRA or CAP should be provided as an attachment to the project narrative.

Note:

- The SF-424, SF-424A, and Budget Narrative must include the entire federal grant Tier I Baseline amount requested (not just one year).
- Applicants should list the same requested federal grant amount on the SF-424, SF-424A, and Budget Narrative.

## Attachment I-5

### **E: Governor's Letter** (*all applicants*)

The Governor or another chief elected official must provide a leadership commitment letter – to be uploaded to Grants.gov separately from the project narrative and work plan – demonstrating the State's commitment to this effort. The letter must do the following:

- Designate the State Agency to be the recipient of the award.
  - Must be one of the eligible entities (see Appendix II: Award Information, Eligible Applicants).
  - Must commit to work in partnership with the State Apprenticeship Agency or federal Office of Apprenticeship working within the State.
- Describe specifically how the Governor or chief elected official plans to support the expansion of quality and innovative apprenticeship training programs that are aligned with the WIOA State Plan.

The letter must be addressed to Brinda Ruggles, Grant Officer, U.S. Department of Labor, Employment & Training Administration Office of Grants Management, 200 Constitution Ave, NW Room N-4716, Washington, D.C. 20210.

For State Apprenticeship Agency (SAA) States, applicants must identify and detail their engagement and collaboration with the SAA.

**Attachment I-6**

**F: Abstract** (all applicants)

**Suggested Abstract Format**

*Please feel free to tailor the template as needed to fit your information.*

| <b>2019 State Apprenticeship Expansion Grant</b>   |  |
|--|--|
| <b>Lead Applicant Organization’s Name:</b>   |  |
| <b>Tier I Funding Amount:</b> <i>State can receive a base amount of \$450,000; U.S. territories receive \$300,000.</i>   |  |
| <b>If applicable, Tier II Funding Amount Request:</b> <i>Up to \$3 million, \$3,000,001 to \$6 million; or \$6,000,001 to \$9 million. Identify specific amount requested.</i> |  |

**Tier I Baseline Goals:**

1. *National Apprenticeship System Building.* States must spend base funding on developing structures that ensure all RAPs in the State have the features of high-quality apprenticeship described in 29 C.F.R. parts 29 and 30.
2. *System Alignment for Apprenticeship Expansion.* States must spend base funding to build statewide capacity to increase the number and quality of apprenticeships through stronger alignment with the education and workforce systems.
3. *Improving Data Sharing and Data Integrity.* States must spend base funding to improve data collection and sharing and data integrity.

**Short Project Summary:** *Include identifying targeted industry(ies) and/or occupation(s).*

**Tier II Innovation Goals and Activities (if applicable):**

| <b>Up to \$3 million:</b>   |
|---|
| <ul style="list-style-type: none"> <li>• <b>Select two of the Tier II Goals</b> <ul style="list-style-type: none"> <li>○ Goal 1: <i>Example B.vi. Establish statewide RAP industry intermediaries (minimum of two).</i></li> <li>○ Goal 2: <i>Example E.i. Establish or expand the role of the business service representative /apprenticeship navigator with the promotion of apprenticeship to partner systems (e.g., education, workforce, and economic development).</i></li> </ul> </li> <li>• Set a goal of at least 10 percent growth of new apprentices registered above the current State baseline during the life of the grant and credibly demonstrate in the application that you will make substantial progress toward meeting this goal.</li> </ul> |
| <b>Short Project Summary:</b> <i>Include identifying targeted industry(ies) and/or occupation(s).</i>   |

**\$3,000,001 to \$6 million:**

- **Select four of the Tier II Goals**
  - Goal 1:
  - Goal 2:
  - Goal 3:
  - Goal 4:
- Set a goal of at least 20 percent growth of new apprentices registered above the current State baseline during the life of the grant and credibly demonstrate in the application that you will make substantial progress toward meeting this goal; and
- Develop and operationalize at least one innovation using the Internet, software, and other technological resources to improve RAP marketing/promotion, business outreach, apprenticeship standards development, and apprenticeship access for under-represented populations.

**Short Project Summary:** *Include identifying targeted industry(ies) and/or occupation(s).*

**\$6,000,001 to \$9 million**

- **Select six of the Tier II Goals**
  - Goal 1:
  - Goal 2:
  - Goal 3:
  - Goal 4:
  - Goal 5:
  - Goal 6:
- Set a goal of at least 25 percent growth of new apprentices registered above the current State baseline during the life of the grant and credibly demonstrate in the application that you will make substantial progress toward meeting this goal;
- Develop and operationalize at least one innovation using the Internet, software, and other technological resources to improve RAP marketing/promotion, business outreach, apprenticeship standards development, and apprenticeship access for under-represented populations; and
- Develop a 5-year plan making RAP a central workforce development strategy and tool for employers within the State.

**Short Project Summary:** *Include identifying targeted industry(ies) and/or occupation(s).*



## Attachment II-1

### **A: Project Narrative Requirements – Tier II: Innovation Goals and Activities** (*Applicants applying for Tier II funding only*)

Applicants may also apply for Tier II funding: Up to \$3 million; \$3,000,001 to \$6 million; or, \$6,000,001 to \$9 million.

The Project Narrative must credibly demonstrate your capability to implement the grant project in accordance with the provisions of this Announcement. This demonstration must be included in the narrative response, and include evidence supporting it by attachment, reference, or hyperlink to the Project Narrative. The inclusion of evidence will count toward the page limit on the Project Narrative. The Project Narrative must provide a comprehensive framework and description of all aspects of the proposed project. It must be succinct, self-explanatory, and well-organized so that reviewers can understand the proposed project.

Please use the following format to develop your project narrative. For Tier II funding, the final narrative is limited to 15 double-spaced single-sided 8 x 11 inch pages (in addition to your Tier I narrative) with 12 point Times New Roman font and 1 inch margins. Applicants must number the Project Narrative beginning with page number “1”.

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

The following instructions provide all of the information needed to complete the Project Narrative. Carefully read and consider each section, and include all required information in your Project Narrative. You must use the same section headers identified below for each section of the Project Narrative.

#### **i. Tier II Required Goals and Activities**

Each grant proposal must include strategies that address the required goals and activities (see Appendix III for a detailed list of categories). Clearly identify which goals and activities you select and identify strategies for how you will achieve each of the selected goal and activity.

- Up to \$3 million: Two goals from different categories;
- \$3,000,001 to \$6 million: Four goals from different categories; or
- \$6,000,001 up to \$9 million: Six goals from different categories.

As described in Attachment II-3, the applicant must identify measurable performance outputs and outcomes for each goal and activity selected in the narrative above.

#### **ii. Evidence of Past Performance:**

In addition to identifying the goals from Appendix III, applicants must also provide evidence of past performance related to establishment or expansion of RAPs. Applicants must use the information below and provide the applicable past performance information in the project narrative. Supporting evidence must be included in the narrative response by attachment, reference, or hyperlink. Supporting evidence will count toward the page limit on application materials.

- Full description of the applicant's prior experience in the development of Registered Apprenticeships or capacity to expand Registered Apprenticeships to local, state, regional or national scale. This could include evidence of existing partnerships, prior experience in expanding RAPs, and the number of apprentices placed in prior programs; and
- Demonstration that partners have experience in engaging industry and employers in the adoption of RAPs, or in the development of work-based learning programs.

**iii. State Apprenticeship 5-year Plans:** *(Only required for applicants applying for funding level greater than \$6 million)*

- Identify a timeline for development and integration of a 5-year State Registered Apprenticeship expansion plan, including key partners who will be involved in the process. Applicants who developed plans through the Apprenticeship Accelerator Grants (TEGL-19-15) should ensure they are effectively integrating and/or expanding those plans as a result of these funds. Applicants should also ensure state plan development is reflected in the project work plan, including identifying target dates for the development, integration, and submission of a final outline and final plan submitted to DOL. States must commit to submitting a final outline for DOL approval at the end of year one, with a final plan submitted to DOL for approval 6 months prior to the end of the grant.

## Attachment II-2

### **B: Suggested Work Plan Template for Additional Tiered Funding Applicants** (*Applicants applying for Tier II funding only*)

- Identify which funding amount you are applying for:
  - Up to \$3 million (select two goals); **OR**
  - \$3,000,001 to \$6 million (select four goals); **OR**
  - \$6,000,001 to \$9 million (select six goals);
- Each goal must be reflected in the work plan.

|                        |   |                                     |                          |
|------------------------|---|-------------------------------------|--------------------------|
| <b>EXAMPLE GOAL:</b>   | <b>Tier II Goals: \$3 million</b><br><b>Goal #1:</b><br>Category D: Incorporate specific strategies to support or expand RAP opportunities among all workers, including women, minorities, veterans, individuals with disabilities, and individuals with a criminal record. |                                     |                          |
| <b>Activity:</b>       |   | <b>Lead/Support Implementer(s):</b> |                          |
| <b>Deliverable(s):</b> |   |                                     |                          |
| <b>Milestones</b>      | <b>Timeframe</b>  |                                     | <b>Deliverable Dates</b> |
|                        |   |                                     |                          |
|                        |   |                                     |                          |

|                        |   |                                     |                          |
|------------------------|---|-------------------------------------|--------------------------|
| <b>EXAMPLE GOAL:</b>   | <b>Tier II Goals: \$3 million</b><br><b>Goal #2:</b><br>Category B: Launch or expansion of sector strategy(ies) to expand RAPs to new industries and/or new or non-traditional occupations within existing sectors. |                                     |                          |
| <b>Activity:</b>       |   | <b>Lead/Support Implementer(s):</b> |                          |
| <b>Deliverable(s):</b> |   |                                     |                          |
| <b>Milestones</b>      | <b>Timeframe</b>  |                                     | <b>Deliverable Dates</b> |
|                        |   |                                     |                          |
|                        |   |                                     |                          |

### **Attachment II-3**

#### **C: Performance Outputs and Outcomes** (*Applicants applying for Tier II funding only*)

In alignment with the goals and activities identified in the Tier II narrative, applicants must identify measurable performance outputs and outcomes for each goal and activity selected. Performance outputs and outcomes must be clearly defined and measurable.

Note: Grantees must reach agreement with the Department on how they will report performance. Upon award, the Department will work with grantees to ensure performance outputs and outcomes are clearly defined and measurable.

## Attachment II-4

### **D: Budget Narrative Guidance** (*Applicants applying for Tier II funding only*)

The Budget Narrative must provide a description of the costs associated with each line item on the SF-424A.

The Budget Narrative should also include a section describing any leveraged resources provided (as applicable) to support grant activities; however, any indicated leveraged resources will have no bearing on the proposal review, or funding decision. Do not show leveraged resources on the SF-424 and SF-424A.

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

1. Personnel – List all staff positions by title including the roles and responsibilities. State the annual salary of each person, the percentage of each person’s time devoted to the project, the amount of each person’s salary funded by the grant and the total personnel cost for the period of performance.
2. Fringe Benefits – Provide a breakdown of the amounts and percentages that comprise fringe benefit costs such as health insurance, FICA, retirement, etc.
3. Travel – Specify the purpose, number of staff traveling, mileage, per diem, estimated number of in-state and out-of-state trips and other costs for each type of travel.
4. Equipment – Equipment is not an allowable cost under this funding announcement and this line must be left as zero.
5. Supplies – Supplies include all tangible personal property other than “equipment.” The detailed budget should identify categories of supplies (e.g., office supplies). List the quantity and unit cost and total cost per item.
6. Contractual – For each proposed contract and subaward, specify the purpose, activities, and estimated cost. Under the Contractual line item, delineate contracts and subawards separately. Contracts are defined according to 2 CFR 200.22 as a legal instrument by which a non-federal entity purchases property or services needed to carry out the project or program under a federal award. A subaward, defined by 2 CFR 200.92, means an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a federal program.
7. Construction – Construction costs are not allowed and this line must be left as zero. Minor alterations to adjust an existing space for grant activities (such as a classroom alteration) may be allowable. DOL does not consider this as construction and the costs must be shown on other appropriate lines such as Contractual.

8. Other – List each item in sufficient detail for DOL to determine whether the costs are reasonable or allowable. List items, such as stipends or incentives, not covered elsewhere.

9. Indirect Charges – If indirect charges are included on the SF-424A budget form, a Negotiated Indirect Cost Rate Agreement (NICRA) or Cost Allocation Plan (CAP) must be included as well as an explanation of how the indirect costs are calculated. This explanation should include which portion of each line item, along with the associated costs, are included in the applicants cost allocation base. Also, a current version of the NICRA or CAP should be provided as an attachment to the project narrative.

Note:

- The SF-424, SF-424A, and Budget Narrative must include the entire Tier II federal grant amount requested (not just one year).
- Applicants should list the same requested federal grant amount on the Tier II SF-424, SF-424A, and Budget Narrative.

**Attachment III-1**  
**Application Submission Checklist** (*all applicants*)

Applicants should use the checklist below as a guide when preparing your application package to ensure that the submitted application has all of the required documents. Note that this checklist is only an aid for applicants and should not be included in the application package. We urge you to use this checklist to ensure your application contains all required items.

Tier I Funding Request: *required for all applicants*

- SF-424, “Application for Federal Assistance”
  - CFDA 17.285, Apprenticeship Grants
  - This funding opportunity is not subject to Executive Order 12372, “Intergovernmental Review of Federal Programs.”
- Project Budget, to include:
  - The SF-424A “Budget Information Form”
  - Budget Narrative
- Project Narrative
- Work Plan: This must be submitted as an attachment and clearly labeled as “Tier I Work Plan”
- Participants served goals, and Performance Outputs and Outcomes: This must be submitted as an attachment and clearly labeled as “Tier I Performance Outputs and Outcomes”
- A letter from the Governor or chief elected for official: This must be submitted as an attachment and clearly labeled as “Governor’s Letter”
- Organizational Chart: This must be submitted as an attachment and clearly labeled as “Organizational Chart”
- Abstract. This must be submitted as an attachment and clearly labeled as “Abstract”

Tier II Funding Request: *optional*

**All additional documents for Tier II funding should be uploaded in [www.grants.gov](http://www.grants.gov) as Other Attachments**

- Additional Tiered funding SF-424, “Application for Federal Assistance” – *must be labeled as “Tier II SF424”*
  - CFDA 17.285, Apprenticeship Grants
  - This funding opportunity is not subject to Executive Order 12372, “Intergovernmental Review of Federal Programs.”
- Additional tiered funding Project Budget, to include:
  - The SF-424A “Budget Information Form” – *must be labeled as “Tier II SF-424A”*
  - Budget Narrative – *must be labeled as “Tier II Budget Narrative”*

- Additional tiered funding Project Narrative – *must be labeled as “Tier II Project Narrative”*
- Additional tiered funding Work Plan – *must be labeled as “Tier II Work Plan”*
- Participants served goals, and Performance Outputs and Outcomes – *must be labeled as “Tier II Performance Outcomes and Outputs”*



# APPENDIX

In this appendix, you will find the guidelines from the U.S. Department of Labor (DOL or Department) for the State grants awarded under TEGL-15-19.

- Appendix I: Primary Goals and Activities of this Funding Opportunity and Definitions
- Appendix II: Award Information
- Appendix III: Goals and Activities
  - A: Tier I (Required): Baseline Goals and Activities
  - B: Tier II (Optional): Innovation Goals and Activities
- Appendix IV: Funding Restrictions
- Appendix V: Application Submission
- Appendix VI: Application Review and Award
- Appendix VII: Administrative Program Requirements
- Appendix VIII: ETA Evaluation
- Appendix IX: Reporting Requirements
- Appendix X: Grant Recipient Training
- Appendix XI: Agency Contacts
- Appendix XII: OMB Information Collection
- Appendix XIII: Resources

## **Appendix I**

### **Primary Goals and Activities of this Funding Opportunity and Definitions**

All States that meet the application requirements will receive a base amount of funds to improve the structures supporting Registered Apprenticeship Programs (RAP) in their State. If States wish to receive more funds above this base amount, States must demonstrate in their application projects that address the goals and activities in Appendix III.

This tiered approach provides States maximum flexibility to address local apprenticeship needs while meeting the Department's RAP priorities. Over the past decade, States have significantly invested in RAPs. However, the nature of how the Registered System is administered—in some States by DOL-recognized State Apprenticeship Agencies (SAA) and in others directly by DOL—means that States have different needs in terms of governance, infrastructure, and support structures that are critical to successful RAP systems. Additionally, States have differing resources, labor markets, and compositions, meaning each State faces individualized challenges in ensuring all RAPs have the features of high-quality apprenticeship required by the Department's regulations at 29 C.F.R. parts 29 and 30. Thus, the first tier of baseline funding allows ETA to equitably divide funds allocated in this TEGL for RAPs to address each State's most pressing needs in supporting Registered Apprenticeship. **If applicants receive funding in the amounts described in Tier II, States may spend more than the base amount to accomplish these baseline goals and activities; however, they still must meet the goals and requirements for Tier II funding.**

This funding opportunity has the following goals and activities:

**A: Tier I: Baseline Goals and Activities (Required):** Every State can receive a base amount of \$450,000; U.S. territories receive \$300,000; and all entities must use these funds to address the following three *required* baseline goals and activities. See Appendix III for details.

1. *National Apprenticeship System Building.* States must spend base funding on developing structures that ensure that all RAPs in the State have the features of high-quality apprenticeship described in 29 C.F.R. parts 29 and 30.
2. *System Alignment for Apprenticeship Expansion.* States must spend base funding to build state-wide capacity to increase the number and quality of apprenticeships through stronger alignment with the education and workforce systems.
3. *Improving Data Sharing and Data Integrity.* States must spend base funding to improve data collection and sharing and data integrity.

**B: Tier II (Optional): Innovation Goals and Activities:** ETA will award States as much as \$9 million to carry out activities above-and-beyond supporting the basic RAP structures in the State. There are three funding levels for this tier, and ETA will determine the award amount based on the goals selected by applicants from a list in Appendix III. Applications must credibly demonstrate that applicants could accomplish these goals during the life of the

grant, as well as credibly demonstrate they can make substantial progress toward increasing the number of individual registered apprentices in the State by the end of the period of performance. Accordingly, **all applications for Tier II funds must be supported by strong evidence of an applicant’s past performance in establishing and expanding RAPs**, in alignment with the criteria in Attachment II-1.

The following list details what applicants must do to receive awards at each funding level in this tier.

- a. Up to \$3 million:
  - Select two of the “Tier II Goals” in Appendix III and credibly demonstrate that these goals can be accomplished during the life of the grant using these funds; and
  - Set a goal of at least 10 percent growth of new apprentices registered above the current State baseline during the life of the grant and credibly demonstrate in the application that you will make substantial progress toward meeting this goal.<sup>1</sup>
- b. \$3,000,001 to \$6 million:
  - Select four of the “Tier II Goals” in Appendix III and credibly demonstrate that these goals can be accomplished during the life of the grant using these funds;
  - Set a goal of at least 20 percent growth of new apprentices registered above the current State baseline during the life of the grant and credibly demonstrate in the application that you will make substantial progress toward meeting this goal; and
  - Develop and operationalize at least one innovation using the Internet, software, and other technological resources to improve RAP marketing/promotion, business outreach, apprenticeship standards development, and apprenticeship access for under-represented populations.
- c. \$6,000,001 to \$9 million:
  - Select six of the “Tier II Goals” in Appendix III and credibly demonstrate that these goals can be accomplished during the life of the grant using these funds;
  - Set a goal of at least 25 percent growth of new apprentices registered above the current State baseline during the life of the grant and credibly demonstrate in the application that you will make substantial progress toward meeting this goal;

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<sup>1</sup> **Baseline:** Defined by current number of active apprentices registered as indicated in RAPIDS for the quarter ending September 30, 2019 or by stick counts submitted to the DOL for the quarter ending September 30, 2019.

- Develop and operationalize at least one innovation using the Internet, software, and other technological resources to improve RAP marketing/promotion, business outreach, apprenticeship standards development, and apprenticeship access for under-represented populations; and
- Develop a 5-year plan making RAP a central workforce development strategy and tool for employers within the State.

For Tier I and Tier II goals and activities, States must use the funding provided to expand RAPs, which are described in more detail below.

### **Registered Apprenticeship Programs:<sup>2</sup>**

Apprenticeships registered by DOL or a recognized SAA are a proven model of job preparation that combine paid on-the-job learning (OJL) with related instruction to progressively increase workers' skill levels and wages. RAPs are also a business-driven model that provides an effective way for employers to recruit, train, and retain highly skilled workers. RAPs allow employers to develop and apply industry standards to training programs, thereby increasing productivity and the quality of the workforce. RAPs offer job seekers immediate employment opportunities that pay sustainable wages and offer advancement along a career path. Graduates of RAPs receive nationally recognized, portable credentials, and their training may be applied toward further post-secondary education.

The regulations for RAPs at 29 C.F.R. parts 29, subpart A, and 30 are authorized through the National Apprenticeship Act of 1937 (29 U.S.C. 50). The Office of Apprenticeship (OA), in conjunction with SAAs, are responsible for: RAPs that meet federal and State standards, issuing certificates of completion to apprentices, encouraging the development of new programs through outreach and technical assistance, protecting the safety and welfare of apprentices, and assuring that all programs provide high-quality training.

All RAPs consist of the following five core components: direct business involvement, OJL, related instruction, rewards for skill gains, and a national occupational credential. Funds can only be used to support RAPs and quality pre-apprenticeships leading to RAPs as described below.

### **Quality Framework for Pre-Apprenticeship Programs**

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<sup>2</sup> See 29 CFR 29 on Labor Standards for the Registration of Apprenticeship Programs, available at <https://www.law.cornell.edu/cfr/text/29/part-29>. See also 29 CFR 30, Equal Employment Opportunity in Apprenticeship, available at <https://www.law.cornell.edu/cfr/text/29/part-30>.

A pre-apprenticeship program is defined as a set of strategies designed to prepare individuals for entry into a RAP.<sup>3</sup> Pre-apprenticeships differ from internships, job shadowing, externships, and co-ops, which may also offer individuals an opportunity to experience firsthand a profession or practice, but do not always engage in “real world” experiential learning.

For the purposes of this TEG, pre-apprenticeship programs must include the following five elements to be considered a quality pre-apprenticeship program:

- *Designed in Collaboration with RAP Sponsors.* Quality pre-apprenticeship programs are designed by organizations with input from a RAP sponsor. A pre-apprenticeship program’s educational and pre-vocational services prepare individuals to meet the entry requisites of one or more apprenticeship programs. They have training goals to teach participants a defined set of skills required and agreed upon by the RAP sponsor for entry into their programs. The start date and length of specific pre-apprenticeship programs may vary. Ideally, pre-apprenticeship programs provide an industry-recognized credential and, possibly, stipends or wages.
- *Meaningful Hands-on Training that does not displace paid employees.* Quality pre-apprenticeships provide hands-on training to individuals in 1) a workplace, 2) simulated lab experience, or 3) work-based learning environment, and which also do not supplant a paid employee, while accurately simulating the industry and occupational conditions of the partnering RAPs, which includes observing proper supervision and safety protocols.
- *Facilitated Entry and/or Articulation.* The purpose of a pre-apprenticeship program is to train individuals for entry into a RAP. A quality pre-apprenticeship program assists in exposing participants to local, state, and national apprenticeship programs and provides direct assistance to participants applying to those programs. When possible, formalized agreements exist with RAPs that enable individuals who have successfully completed the pre-apprenticeship program to enter directly into a RAP. These may also include articulation agreements that allow the individual to earn advanced credit/placement for skills and competencies already acquired.
- *Sustainability through Partnerships.* To support the ongoing sustainability of a quality pre-apprenticeship partnership. Such partnerships collaboratively promote the use of RAPs as a preferred means for employers to develop a skilled workforce and to create career opportunities and pathways for individuals.
- *Access to Appropriate Supportive Services.* Quality pre-apprenticeship programs facilitate access to appropriate supportive services during the program; these supportive services may continue after the participant leaves the pre-apprenticeship and enters a RAP. Services may include counseling, transportation assistance, childcare, and rehabilitative services.

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<sup>3</sup> *Describing a Quality Pre-Apprenticeship and Related Tools and Resources* Training and Employment Notice No. 13-12, available at [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=5842](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5842)

## **Appendix II Award Information**

Funding is authorized under the Department of Defense and Labor, Health and Human Services, and Education Appropriations Act, 2019 and Continuing Appropriations Act, 2019 (Public Law 115-245, Division B, Title I).

Applications are due by 11:59:59 P.M. EDT, Wednesday, May 20, 2020. Should an application not be received by 11:59:59 P.M. EDT on the closing date of the funding opportunity, the State will forfeit the opportunity to receive this funding. This funding will be treated by ETA as a discretionary grant and will be subject to the Terms and Conditions of the Grant Agreement. To the extent that program or policy issues need to be addressed, DOL may provide additional guidance through Frequently Asked Questions (FAQs), or through special conditions.

Applicants may only submit one application, which must include a funding request for Tier I (see Appendix V for requirements) and, if also applying for Tier II, must include a funding request for Tier II (see Appendix V for requirements).

### **Eligible Applicants:**

Eligible applicants are States. The term “State” means “any of the 50 States of the United States, District of Columbia, or any Territory or possession of the United States.” For the purposes of this TEGL, territories or possessions of the United States are defined as: Puerto Rico, U.S. Virgin Islands, Guam, the Commonwealth of the Northern Mariana Islands, and American Samoa. States may only submit one application in response to this TEGL.

### **Fiscal and Administrative Responsibility:**

Upon award, the grantee will have overall fiscal and administrative responsibility for the award, including any performance of sub-awardees. This responsibility may not be delegated. As part of their responsibility for the award, the recipient shall be:

- the point of contact with the Department to receive and respond to all inquiries or communications under this award and any sub-awards;
- the entity with authority to withdraw or draw down funds;
- the entity responsible for submitting to the Department all deliverables under the award, including all related technical and financial reports, regardless of which partnership member performed the work;
- the entity that may request modifications to the award or statement of work;
- the entity with overall responsibility for carrying out programmatic functions of the award, as well as the stewardship of all expenditures under the award;
- the entity responsible for coordinating with the national evaluator; and
- the entity responsible for working with the Department to close out the award at the end of the period of performance.

### **Appendix III**

#### **Tier I and Tier II Funding Goals and Activities**

**A: Tier I: Baseline Goals and Activities (Required):** Each State meeting application requirements after applying will receive a base funding amount of \$450,000, and territories \$300,000; and all entities must use these funds to address the following three *required* baseline goals and activities:

1. *National Apprenticeship System Building.* States must spend base funding on developing structures that ensure that all RAPs in the State have the features of high-quality apprenticeship described in 29 C.F.R. parts 29 (Subpart A) and 30.
  - a. SAA States. SAA States must use grant funds to support structures, resources, and activities that strengthen compliance with parts 29, subpart A, and 30 by all programs in the State. Examples of these activities include:
    - i. Building or renovating oversight systems that allow apprenticeship sponsors to register or update their standards quickly and allow SAAs to better ensure compliance with parts 29, subpart A,) and 30; and
    - ii. Establishing a SAA presence in key economic hubs to provide more responsive and localized technical assistance to registered programs in that hub.
  - b. OA States. States where OA directly operates RAPs must propose only projects that involve closely coordinating with OA to improve access to RAPs in the State. This includes developing programs and initiatives that make secondary education institutions and key employers aware of RAPs, and empower workers and employers to participate in RAPs. Examples of these activities include:
    - i. Developing OA-approved frameworks for registering occupations that are growing or in-demand in the State to ease registration of new programs; and
    - ii. Creating other systems and tools that allow new and existing programs to more easily reach or stay in compliance with parts 29 (Subpart A) and 30.
2. *System Alignment for Apprenticeship Expansion.* States must spend base funding to build state-wide capacity to increase the number and quality of Registered Apprenticeships through stronger alignment with the education and workforce systems. Activities must demonstrate coordination with secondary education CTE programs, local workforce development programs, and post-secondary educational institutions. Example activities include:
  - Developing new, formal partnerships with secondary education and postsecondary education and training institutions to create a pipeline to Registered Apprenticeship opportunities in in-demand professions in the state;

- Creating new systems and structures to maximize programs and apprentices' access to WIOA and GI Bill benefits and other resources available for Registered Apprenticeship in the state;
- Creating formal opportunities for education and training institutions to gauge individuals' experience, employability, interests, and aptitudes, and present to them Registered Apprenticeship opportunities that fit their profile;
- Aligning career and technical education programs with the quality apprenticeship features described in Registered Apprenticeship regulations;
- Developing standardized training that uses Registered Apprenticeship as a work-based learning and vocational training program (e.g., development of a National Career Clusters Framework standardized career training by providing sample study programs and minimum competency skills in 79 career fields, including architecture, construction, hospitality and tourism, agriculture, manufacturing, and finance);<sup>4</sup>
- Promoting the use of Registered Apprenticeship in post-secondary educational institutions/workforce development institutions, and leveraging workforce intermediaries to expand access to Registered Apprenticeship in secondary and post-secondary institutions;
- Expanding the use of integrated education and training approaches across the State;
- Building the capacity of adult education and higher-education partners to incorporate Registered Apprenticeship into their education and training programs;
- Increasing alignment between State education and workforce systems through the development of policies that facilitate the transition from school to Registered Apprenticeship; and
- Increasing awareness of Registered Apprenticeship as a solution to align employment, training, education, and support services for adults and youth, and other underrepresented populations (including women, people of color, ex-offenders, and persons with disabilities).

**Note:** Grantees must reach agreement with the Department on how they will report performance under this list of activities.

3. *Improving Data Sharing and Data Integrity.* States must commit to improving data sharing and data integrity regarding registration activities. Example activities include:
  - a. Adoption of RAPIDS as the State's case management system for registration activities;
  - b. Taking the infrastructural steps necessary for the State to enter a MOU regarding the sharing of data on RAPs and registered apprentices that provides the equivalent disaggregated data that is available to DOL via RAPIDS. Grantees will provide this data quarterly in an individual record format agreed upon

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<sup>4</sup> <https://careertech.org/career-clusters>



between OA and the grantee. Grantees will upload the data to RAPIDS via an SAA Data Upload Portal, wherein the submitted data will be stored in RAPIDS and incorporated into DOL public and internal reporting (i.e., in RAPIDS data dashboards and canned reports);

- c. In accordance with adoption of the above item b, creating or updating State data collection systems that allow better tracking of apprentices and apprenticeship programs in the state so as to match the depth of individual record level data already recorded in the RAPIDS case management system;
- d. Reaching out to employers to encourage listing Registered Apprenticeship opportunities on the Finder app;<sup>5</sup>
- e. Participating in quarterly DOL RAPIDS group data reviews/validation sessions (RAPIDS Weeks) to verify and clean up existing data; and
- f. Participating in weekly RAPIDS Power User Group (PUG) meetings to collaborate on improving the RAPIDS user experience and data governance.

**B: Tier (Optional): II Innovation Goals and Activities:** ETA will award States as much as \$9 million to carry out activities above-and-beyond supporting the basic Registered Apprenticeship structures in the State. There are three funding levels for this tier, and ETA will determine award amount based on goals selected by applicants from the list below, according to whether the applicant credibly demonstrates it can meet this goal. Applications must credibly demonstrate that applicants could accomplish these goals during the life of the grant, as well as credibly demonstrate they can make substantial progress toward increasing the number of individual registered apprentices in the State by the end of the grant’s life—as described in the requirements for each funding level below. Accordingly, **all applications for Tier II funds must be supported by strong evidence of an applicant’s past performance in establishing and expanding RAPs**, in alignment with the criteria in Attachment II.

The following details what applicants must do to receive awards at each funding level in this tier.

- a. Up to \$3 million:
  - Select two of the “Tier II Goals” and credibly demonstrate that these goals can be accomplished during the life of the grant using these funds; and
  - Set a goal of at least 10 percent growth of new apprentices registered above the current State baseline during the life of the grant and credibly demonstrate in the application that you will make substantial progress toward meeting this goal.<sup>6</sup>

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<sup>5</sup> For more information on the Finder app, please see <https://www.apprenticeship.gov/list-your-apprenticeship-jobs>

<sup>6</sup> **Baseline:** Defined by current number of active apprentices registered as indicated in RAPIDS for the quarter ending September 30, 2019 or by stick counts submitted to the DOL for the quarter ending September 30, 2019.

- b. \$3,000,001 to \$6 million:
- Select four of the “Tier II Goals” and credibly demonstrate that these goals can be accomplished during the life of the grant using these funds;
  - Set a goal of at least 20 percent growth of new apprentices registered above the current State baseline during the life of the grant and credibly demonstrate in the application that you will make substantial progress toward meeting this goal; and
  - Develop and operationalize at least one innovation using the Internet, software, and other technological resources to improve RAP marketing/promotion, business outreach, apprenticeship standards development, and apprenticeship access for under-represented populations.
- c. \$6,000,001 to \$9 million:
- Select six of the “Tier II Goals” and credibly demonstrate that these goals can be accomplished during the life of the grant using these funds;
  - Set a goal of at least 25 percent growth of new apprentices registered above the current State baseline during the life of the grant and credibly demonstrate in the application that you will make substantial progress toward meeting this goal;
  - Develop and operationalize at least one innovation using the Internet, software, and other technological resources to improve RAP marketing/promotion, business outreach, apprenticeship standards development, and apprenticeship access for under-represented populations; and
  - Develop a 5-year state plan making Registered Apprenticeship a central workforce development strategy and tool for employers within the State

## Tier II Goals

To access Tier II awards, applicants must choose and credibly demonstrate that they can accomplish goals necessary for each funding level. A list of allowable goals is below.

The goals are categorized by policy area and/or topic. **Applicants may not choose more than two (2) Goals from the same category.**

| <b><u>Category A: General Business Outreach, Technology and/or Technical Assistance (TA) Goals</u></b> |  |
|--|--|
| i.   | In alignment with the Department’s national marketing campaigns, launch Registered Apprenticeship multi-media statewide marketing and outreach efforts targeted at new employers and career seekers.   |
| ii.  | Establish an employer incentive plan to expand or scale RAPs. (These can be financial or non-financial incentives but must be designed to increase employer demand.)   |
| iii.   | Leverage technology to develop innovative TA strategies/approaches for Registered Apprenticeship sponsors (e.g., tools to increase access for entry of women and minorities; e-tools that remove administrative barriers or improve existing processes). |
| iv.  | Identify and implement specific TA strategies that change existing or create new   |

|  |
|--|
| <p>effective processes and/or services, in the delivery of TA to sponsors for the purposes of increasing efficiency, improving overall impact, and removing barriers in expanding RAPs.</p>  |
| <p>v. Identify specific strategies to support engagement with small businesses in non-traditional industries in Registered Apprenticeship. Strategies could include establishing incentives for employers to form consortia; developing specific intermediaries that serve as the sponsor of apprenticeship programs for small businesses (e.g., Chambers of Commerce, Community Colleges, Workforce Boards); and, any other strategy identified by the State.</p> |
| <p><b>Category B: Apprenticeship Diversification/New Industry Goals</b></p>  |
| <p>i. Launch or expand sector strategy(ies) to expand RAPs to new industries and/or new or non-traditional occupations within existing sectors.</p>  |
| <p>ii. Launch or expand sector strategy(ies) to expand RAPs to new occupations in traditional industries. Efforts should demonstrate how existing apprenticeship sponsors may expand and scale their programs by including new occupations within their enterprise (e.g., IT apprentices within a manufacturing employer).</p>   |
| <p>iii. Launch or expand RAPs in health care, mental health care, addiction treatment, or alternative pain management occupations providing support to individuals living in rural areas. Applicants must demonstrate that (i) apprentices trained in these registered programs serve or will serve “rural populations,”<sup>7</sup> (ii) apprentices trained in these registered programs serve or will serve at rural hospitals;<sup>8</sup> or (iii) both.</p>  |
| <p>iv. Launch or expand RAPs in occupations providing support to individuals who are affected by substance-use disorder (SUD), regardless of whether these individuals live in rural or urban areas.</p>   |
| <p>v. Launch or expand RAPs to support expansion of 5G across the country, particularly in rural areas, as defined by the U.S. Census Bureau, by training in occupations that will develop or build infrastructure for 5G.<sup>9</sup></p>   |
| <p><b>Category C: General Apprenticeship Quality Improvement Goals</b></p>   |
| <p>i. Launch efforts to improve core components of RAPs, including on-the-job learning, classroom instruction, mentorship/supervision, and assessments leading to the issuance of industry recognized credentials.</p>   |

<sup>7</sup> For the purposes of this TEGL, rural populations are 1) populations that meet the criteria defined by the Health Resources & Services Administration (HRSA)’s Federal Office of Rural Health Policy (FORHP) at <https://www.hrsa.gov/rural-health/about-us/definition/index.html>, 2) counties that do not have “Urbanized Areas” (as defined by the U.S. Census Bureau, Urbanized Areas (UAs) have 50,000 or more people); or 3) any federally recognized Indian tribe.

<sup>8</sup> For the purposes of this TEGL, rural hospital is defined as 1) hospitals located in eligible rural areas, 2) hospitals with Centers for Medicare and Medicaid Services (CMS) designations as Critical Access Hospitals, Sole Community Hospitals, or Rural Referral Centers, or 3) tribal-operated and Indian Health Service (HIS)-operated hospitals and medical facilities.

<sup>9</sup> <https://www.census.gov/programs-surveys/geography/guidance/geo-areas/urban-rural.html>

|   |  |
|---|--|
|   | <p>The applicant must propose specific strategies to improve the quality of any of these core components and identify specific measurements of improvement.</p>  |
| ii.   | <p>Launch efforts to improve the overall quality of apprenticeship standards and classroom instruction curriculum, including the development or adoption of competency-based apprenticeship standards.</p> <p>This could include adopting or converting DOL’s competency-based occupational frameworks (CBOFs) and making them available for use by existing and potential sponsors, or other efforts that include the development of standards that are shared with other States and DOL.</p>                                   |
| iii.  | <p>Launch new efforts to increase the general quality of RAPs within the State with a goal (at a minimum) to improve RAP completion rates. Efforts could include increased capacity for technical assistance, increased access to quality mentorship pre-apprenticeship, or other strategies.</p> <p>State must propose a specific outcome goal.</p>   |
| <p><b>Category D: Diversity and Inclusion and/or Special Population Goals</b></p> |  |
| i.  | <p>Incorporate specific strategies to support or expand RAP opportunities among all workers, including women, minorities, veterans, individuals with disabilities, and individuals with a criminal record. These activities must be in compliance with all state, local, and federal equal-employment laws and civil rights protections.</p> <p>For this goal, baseline is defined as the current inclusion of the target group in their State workforce. Applicants must use LMI data when providing this information.</p>      |
| ii.   | <p>Incorporate specific strategies to support or expand youth RAP development and/or scaling of existing programs.</p>   |
| <p><b>Category E: System Alignment or Partnership Goals</b></p>                   |  |
| i.  | <p>Establish or expand the role of the business service representative/apprenticeship navigator with the promotion of apprenticeship to partner systems (e.g., education, workforce, and economic development).</p>  |
| ii.   | <p>Promote apprenticeship through partner engagement activities that outline concrete deliverables, such as setting new performance measures, signing of MOUs, shared development of curricula, commitments to hire, and leveraging resources.</p>   |
| iii.  | <p>Increase integration and alignment with existing Community Workforce Development Boards and their partners, to include alignment with state and local plans.</p>  |
| <p><b>Category F: Innovative State-Proposed Goals</b></p>                         |  |
| i.  | <p>States can propose a goal not listed here, provided its application credibly demonstrates:</p> <ul style="list-style-type: none"> <li>• This goal is innovative, meaning that it is an approach to RAPs, or their creation or expansion, that has not been tried before or not tried in the State before;</li> <li>• This goal is uniquely tailored to the employment or economic needs of the State; and</li> <li>• The State has a detailed, achievable plan for meeting this goal during the life of the grant.</li> </ul> |

## **Appendix IV Funding Restrictions**

All proposed project costs must be necessary and reasonable and in accordance with federal guidelines. Determinations of allowable costs will be made in accordance with the Cost Principles found at 2 CFR Part 200 (Uniform Guidance) and 2 CFR Part 2900 (Uniform Guidance – DOL Specific). Compensation, including salaries, must be handled consistently with the Uniform Guidance, including 2 CFR 200.430. Disallowed costs are those charges to a grant that the grantor agency or its representative determines not to be allowed in accordance with the Cost Principles or other conditions contained in the grant. Applicants, whether successful or not, will not be entitled to reimbursement of pre-award costs. Wherever possible, States must make efforts to streamline the programmatic and administrative activities and services listed in this section by minimizing duplication and effectively using information technology to improve services and leveraging resources across programs. The following limitations apply to funds awarded under this TEG:

- **Apprentice Participant Wages:** Grant funds may not be used to directly pay wages for apprentices.
- **On-the-Job Learning:** Grant funds may be used to support on-the-job learning (OJL), (also known as on-the-job training), to reimburse employers for the extraordinary costs of apprenticeship OJL. Reimbursement can be calculated up to 50 percent of the apprentice wage. Grantees must document the terms of reimbursement, including the length of time the reimbursement will occur.
- **Salary caps:** None of the funds appropriated under the heading “Employment and Training” in the appropriation statute(s) may be used by a recipient or subrecipient of such funds to pay the salary and bonuses of an individual, either as direct costs or indirect costs, at a rate in excess of Executive Level II. This limitation does not apply to contractors providing goods and services as defined in the Audit Requirements of the OMB Uniform Guidance (see 2 CFR 200 Subpart F). Where States are recipients of such funds, States may establish a lower limit for salaries and bonuses of those receiving salaries and bonuses from subrecipients of such funds, taking into account factors including the relative cost-of-living in the State, the compensation levels for comparable State or local government employees, and the size of the organizations that administer federal programs involved, including Employment and Training Administration programs. See Public Law 113-235, Division G, Title I, section 105, and Training and Employment Guidance Letter number 05-06 for further clarification:  
[https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2262](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2262).
- **Supportive services for apprentices who enrolled in a Registered Apprenticeship program:** Supportive services for participants enrolled in apprenticeships include services such as transportation, childcare, dependent care, housing, and needs-related payments that are necessary to enable an individual to participate in apprenticeship activities funded through this grant. Supportive services activities may include, but are

not limited to, provision of the actual supportive service (e.g., childcare); providing participants with a voucher for the service (e.g., public transportation cards or tokens); or providing a stipend directly to the apprentice. No more than 10 percent of the grant funds can be used for supportive services.

- **Equipment:** Equipment purchases and other capital expenditures (as defined in 2 CFR 200.439, 200.89 and 200.48) are not an allowable cost under this announcement. DOL will not approve any such expenses using funds from this grant.
- **Intellectual Property Rights:** Pursuant to 2 CFR 2900.13, to ensure that the federal investment of DOL funds has as broad an impact as possible and to encourage innovation in the development of new learning materials, the grantee will be required to license to the public all work created with the support of the grant under a Creative Commons Attribution 4.0 (CC BY) license. Work that must be licensed under the CC BY includes both new content created with the grant funds and modifications made to pre-existing, grantee-owned content using grant funds.

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

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

Questions about CC BY as it applies to this specific funding opportunity should be submitted to the ETA Grants Management Specialist.

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

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

Separate from the CC BY license to the public, the federal government reserves a paid-up, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use for federal purposes: i) the copyright in all products developed under the grant, including a subaward or contract under the grant or subaward; and ii) any rights of copyright to which the recipient, subrecipient, or a contractor purchases

ownership under an award (including, but not limited to, curricula, training models, technical assistance products, and any related materials). Such uses include, but are not limited to, the right to modify and distribute such products worldwide by any means, electronically or otherwise. The grantee may not use federal funds to pay any royalty or license fee for use of a copyrighted work, or the cost of acquiring by purchase a copyright in a work, where the Department has a license or rights of free use in such work. If revenues are generated through selling products developed with grant funds, including intellectual property, DOL treats such revenues as program income. Such program income is added to the grant and must be expended for allowable grant activities.

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

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

## **Appendix V Application Submission**

Applications must be received by 11:59:59 PM EDT on Wednesday, May 20, 2020 to be considered for funding. ETA plans to award these grants by July 1, 2020 with a 36-month period of performance ending June 30, 2023.

### **a. Required Documents**

In an effort to achieve greater efficiency and as part of ETA's on-going effort to streamline the grant award process, applicants are required to submit the following items through Grants.gov at <https://www.grants.gov/>. Submission via other electronic mediums will not be accepted, nor will hard copy submissions.

Applicants should submit one application in response to the TEGL, which must include a funding request for Tier I. If applying for Tier II, the application must include a funding request for Tier II that describes how the project will address all required activities of the grant.

### **Tier I Funding Request: *required for all applicants***

#### 1) SF-424, "Application for Federal Assistance"

- The SF-424 (available at <https://www.grants.gov/web/grants/forms/sf-424-family.html>) must clearly identify the applicant entity and must be submitted by an individual with authority to enter into a grant agreement. Upon confirmation of an award, the individual 'signing' the SF-424 on behalf of the applicant is considered the Authorized Representative of the applicant. As stated in block 21 of the SF-424 form, the signature of the Authorized Representative on the SF-424 certifies that the organization is in compliance with the Assurances and Certifications form SF-424B (available at the above link). Applicants do not need to submit the SF-424B with the application.

#### 2) Project Budget, to include:

- The SF-424A "Budget Information Form" (available at <https://www.grants.gov/web/grants/forms/sf-424-family.html>); and
- Budget Narrative: The Budget Narrative must provide a concise description of costs associated with each line item on the SF-424A (see Attachment I-4 for further guidance).

#### 3) Project Narrative. Tier I Baseline Goals (see Attachment I-1 for details).

#### 4) Work Plan (see Attachment I-2 for details). This must be submitted as an attachment and clearly labeled as "Tier I Work Plan."

#### 5) Participants served goals, and Performance Outputs and Outcomes (see Attachment I-3 for details). This must be submitted as an attachment and clearly labeled as "Tier I Performance Outputs and Outcomes."

#### 6) Organizational Chart (see Attachment I-1 for details). The chart must be included as an attachment to the project narrative and does not count towards the 10-page limit for Tier I.



7) A letter from the Governor or chief elected official (see Attachment I-5 for details). This must be submitted as an attachment and clearly labeled as “Governor’s Letter.”

8) Abstract (see Attachment I-6). An abstract adhering to guidelines in Attachment I-6 must be submitted as an attachment and clearly labeled “Abstract.” The abstract must identify the funding requested for Tier I and provide a high-level project summary. Applicants applying for Tier II must also include total Tier II funding requested, Tier II goals selected, and a high-level project summary. The abstract can be up to two pages summarizing the proposed project, including, but not limited to, the scope of the project and proposed outcomes. Omission of the abstract will not result in your application being disqualified.

#### Tier II Funding Requests:

#### **All documents for Tier II funding should be uploaded in [www.grants.gov](http://www.grants.gov) as Other Attachments.**

- 1) SF-424, “Application for Federal Assistance” - *must be labeled as “Tier II SF424”*
  - The SF-424 (available at <https://www.grants.gov/web/grants/forms/sf-424-family.html>) must clearly identify the applicant entity and must be submitted by an individual with authority to enter into a grant agreement. Upon confirmation of an award, the individual ‘signing’ the SF-424 on behalf of the applicant is considered the Authorized Representative of the applicant. As stated in block 21 of the SF-424 form, the signature of the Authorized Representative on the SF-424 certifies that the organization is in compliance with the Assurances and Certifications form SF-424B (available at the above link). Applicants do not need to submit the SF-424B with the application.
- 2) Project Budget, to include:
  - The SF-424A “Budget Information Form” (available at <https://www.grants.gov/web/grants/forms/sf-424-family.html>) must be labeled as “Tier II SF-424A”; and
  - Budget Narrative: The Budget Narrative must provide a concise description of costs associated with each line item on the SF-424A (see Attachment II-4 for further guidance) and must be labeled as “Tier II Budget Narrative.”
- 3) Project Narrative – Tier II (see Attachment II-1 for details) must be labeled as “Tier II Project Narrative.” Where this TEGL states in Appendix III that applicants must “credibly demonstrate” an activity or goal, this evidence must be included in the narrative response. This can also include—by attachment, reference, or hyperlink—materials or documentation supporting your proposal. The Project Narrative must address the required criteria identified in Attachment II-1 – Tier II required goals and activities, evidence of past performance, and state apprenticeship 5-year plan.
- 4) Work Plan (see Attachment II-2) must be labeled as “Tier II Work Plan.” This plan must credibly demonstrate that the applicants’ chosen goals and projects are realistic (based on past performance or other evidence) and can be accomplished within the life of the grant. This can be

accomplished through, for example, plans for realistic or organized outreach or descriptions of partner organizations and their role in operationalizing your proposal.

5) Participants served goals, and Performance Outputs and Outcomes (see Attachment II-3 for details) must be labeled as “Tier II Performance Outcomes and Outputs.”

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

### **b. Grants.gov Submission Process**

Applicants must submit the application package through Grants.gov. Submission via other electronic mediums will not be accepted, nor will hard copy submissions. This submission process may at times be complicated and time-consuming. As such, DOL strongly encourages applicants to initiate the process as soon as possible in order to allow time to resolve unanticipated technical problems. Applicants needing to register with Grants.gov may do so at <https://www.grants.gov/web/grants/register.html>. Registration is a one-time process, and applicants that already have a Grants.gov account do not need to register again. Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different web forms within an application. For complete workspace overview, refer to <https://www.grants.gov/web/grants/applicants/workspace-overview.html>.

### **Requirement for DUNS Number**

Submission requirements stipulate that all applicants for federal grant and funding opportunities must have a DUNS Number, and must supply their DUNS Number on the SF-424. The DUNS Number is a nine-digit identification number that uniquely identifies business entities. If applicant does not have a DUNS Number, the applicant can get one for free through the D&B website <https://fedgov.dnb.com/webform/index.jsp>. Grant recipients authorized to make sub-awards must meet these requirements related to DUNS Numbers:

- Grant recipients must notify potential sub-awardees that no entity may receive a sub-award from applicant unless the entity has provided its DUNS Number to applicant; and
- Grant recipients may not make a sub-award to an entity unless the entity has provided its DUNS Number to applicant. (See, Appendix A to 2 CFR section 25.)

### **Requirement for Registration with SAM**

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

A recipient must maintain an active SAM registration with current information at all times during which it has an active federal award or an application under consideration. To remain registered in the SAM database after the initial registration, the applicant is required to review and update the registration at least every 12 months from the date of initial registration or subsequently update its information in the SAM database to ensure it is current, accurate, and

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

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

## **Appendix VI Application Review and Award**

Proposals will first be screened to determine if the applicant meets the eligibility requirements enumerated in Appendix II, Award Information. All required elements outlined in Appendix III, Application Submission, of this announcement must be submitted. Applications that do not include an SF-424, SF-424A, Budget Narrative, and Project Narrative for Tier I Baseline Goals will be considered non-responsive and will not be reviewed. Submissions will only be accepted via [www.grants.gov](http://www.grants.gov). Submissions via other electronic mediums will not be accepted, nor will hard copy submissions.

ETA officials will form a Technical Evaluation Committee to assess the response of an accepted application's associated documents as indicated below (see Attachment I and Attachment II). ETA intends to fund awards for any applicant (i) who adequately demonstrates their ability to achieve grant goals through a clear, detailed, and reasonable program narrative, (ii) whose budget and budget narrative are sufficient to support the activities in the program narrative, and (iii) who properly follows guidelines in applying for funding is available. This includes adequate staffing levels to support grant goals and grant management.

The review and selection process will proceed as follows:

- 1) An initial review of proposals for eligibility, required document components will be conducted by the Office of Grants Management (OGM) staff;
- 2) Evaluations of the technical merits of each accepted proposal addressing the items indicated in Attachments I-1 through I-6 and II-1 through II-4 (the Technical Review) will be conducted by the Technical Evaluation Committee;
  - a. For Applicants that apply for Tier II funding, funds will be awarded based on the number and quality of Tier II applications received and the funding available, as well as geographic, industry, and Tier II goal distribution.
- 3) Evaluations of the cost components of each accepted proposal (the Budget Review) will be conducted by the Technical Evaluation Committee; and
- 4) Proposals recommended for award will be funded via Notices of Award attached to a Grant Agreement issued by the Grant Officer of Record and may or may not have "Special Conditions" requiring additional response, based on the outcome of the Technical Evaluation Committee review.

ETA may elect to award a grant with or without discussions with the applicant. Should a grant be awarded without discussions, the award will be based on the applicant's signature on the SF-424, including electronic signature, which constitutes a binding offer by the applicant.

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

All applications deemed to be complete and responsive by the Grant Officer will go through a risk review process. Before making an award, ETA will review information available through

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

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

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

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

## **Appendix VII**

### **Administrative Program Requirements**

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

- i. Non-Profit Organizations, Educational Institutions, For-profit entities and State, Local and Indian Tribal Governments - 2 CFR Part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards) and 2 CFR 2900 (DOL's Supplement to 2 CFR Part 200).
- ii. All entities must comply with 29 CFR Part 93 (New Restrictions on Lobbying), 29 CFR Part 94 (Government-wide Requirements for Drug-Free Workplace (Financial Assistance)), 2 CFR Part 180 (OMB Guidance to Agencies on Government-wide Debarment and Suspension (Non-procurement), and, where applicable, 2 CFR Part 200 (Audit Requirements).
- iii. 29 CFR Part 2, subpart D-Equal Treatment in Department of Labor Programs for Religious Organizations; Protection of Religious Liberty of Department of Labor Social Service Providers and Beneficiaries.
- iv. 29 CFR Part 31-Nondiscrimination in Federally Assisted Programs of the Department of Labor-Effectuation of Title VI of the Civil Rights Act of 1964.
- v. 29 CFR Part 32-Nondiscrimination on the Basis of Handicap in Programs or Activities Receiving Federal Financial Assistance.
- vi. 29 CFR Part 35- Nondiscrimination on the Basis of Age in Programs or Activities Receiving Federal Financial Assistance from the Department of Labor.
- vii. 29 CFR Part 36-Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance.
- viii. 29 CFR Parts 29 and 30-Labor Standards for the Registration of Apprenticeship Programs, and Equal Employment Opportunity in Apprenticeship and Training, as applicable.
- ix. General Terms and Conditions of Award - <https://www.doleta.gov/grants/resources.cfm>

## **Appendix VIII ETA Evaluation**

As a condition of grant award, grantees are required to participate in an evaluation, if undertaken by DOL. The evaluation may include an implementation assessment across grantees, an impact and/or outcomes analysis of all or selected sites within or across grantees, and a benefit/cost analysis or assessment of return on investment. Conducting an impact analysis could involve random assignment (which involves random assignment of eligible participants into a treatment group that would receive program services or enhanced program services, or into control group(s) that would receive no program services or program services that are not enhanced). We may require applicants to collect data elements to aid the evaluation. As a part of the evaluation, as a condition of award, grantees must agree to (1) make records available to the evaluation contractor on participants, employers, and funding; (2) provide access to program operating personnel, participants, and operational and financial records, and any other pertaining documents to calculate program costs and benefits; (3) in the case of an impact analysis, facilitate the assignment by lottery of participants to program services (including the possible increased recruitment of potential participants); and (4) follow evaluation procedures as specified by the evaluation contractor under the direction of DOL.

## **Appendix IX Reporting Requirements**

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

### **1) Quarterly Financial Reports**

A Quarterly Financial Status Report (ETA 9130) is required until such time as all funds have been expended or the grant period has expired. Quarterly reports are due 45 days after the end of each calendar year quarter. On the final Financial Status Report, you must include any subaward amount so we can calculate final indirect costs, if applicable. You must use DOL's Online Electronic Reporting System, and information and instructions will be provided to grantees. For other guidance on ETA's financial reporting, reference Training and Employment Guidance Letter (TEGL) 02-16 and our webpage at [https://www.doleta.gov/grants/financial\\_reporting.cfm](https://www.doleta.gov/grants/financial_reporting.cfm).

### **2) Quarterly Performance Reports**

Grant recipients must submit a quarterly progress report within 45 days after the end of each calendar year quarter. This report includes a quarterly narrative report that details all grant activities that occurred during the quarter (provides an analysis of the industry sectors and occupations participating in Registered Apprenticeship; summarizes progress against grant goals; and updates the work plan to include key goals and milestones for the coming year), as well as a quarterly performance report. In order to submit these quarterly reports, the grant recipient will be required to track and report participant-level data to ETA, including Social Security Numbers (SSNs), on all individuals who are provided grant-funded services. The SSN information allows ETA to efficiently match employment data from State unemployment insurance and other wage records. Thus, the collection of participant SSNs lessens the burden on grant recipients when tracking exit-based employment measures, while reporting consistent and reliable outcome information. Performance reporting for these grants will align with the DOL-Only Performance Accountability Information and Reporting System (OMB Control No. 1205-0521) information collection request (ICR). As part of quarterly performance reporting, DOL requires grant recipients to conduct data validation to ensure the validity of data submitted to DOL. Grant recipients are encouraged to fully implement the data validation framework published in forthcoming DOL data validation guidance.

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 it must thoroughly document the training or labor market information approaches that grant recipients used.

DOL will provide the grant recipient with an online reporting system along with detailed formal guidance about the data and other information required to be collected and reported on, either on a regular basis or special request basis. As noted above, these



grants will align with WIOA performance reporting requirements, including the online reporting system. Grantees must agree to meet DOL reporting requirements.

## **Appendix X Grant Recipient Training**

Grantees are required to participate in all ETA training activities related to grantee orientation, financial management and reporting, performance reporting, product dissemination, and other technical assistance training as appropriate during the grant period. These sessions may occur via conference calls, virtual events such as webinars, and in-person meetings. Applicants should budget for two staff members to attend one in-person event in Washington, D.C. of two-night duration, and one in-person event within their DOL Region of two-night duration, during the life of the award. For grantees whose apprenticeship programs are federally administered, this will include a meeting between the State, the ETA Office of Apprenticeship, and the OA State director to discuss the State's grant goals and the role OA can play in supporting those goals. This meeting will take place within the first quarter of grant award.

## **Appendix XI Agency Contacts**

Please direct questions regarding this funding opportunity to Anu Mathew, Grants Management Specialist, Office of Grants Management, at [Mathew.Anu@dol.gov](mailto:Mathew.Anu@dol.gov), specifically referencing “ETA-TEGL-15-19”. Applicants should include a contact name, phone number and email with all questions to provide a means of response. This announcement is available on the ETA website at <http://www.doleta.gov> and at <https://www.grants.gov>.

**Appendix XII**  
**OMB Information Collection**

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

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 20 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

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

## Appendix XIII

### Resources

- **Grants Application and Management:**
  - Applying for ETA Competitive Grants: A Web-Based Toolkit for Prospective Applicants  
([https://grantsapplicationandmanagement.workforcegps.org/resources/2017/Applying\\_for\\_ETA\\_Competitive\\_Grants-\\_A\\_Web-Based\\_Toolkit-for\\_Prospective\\_Applicants](https://grantsapplicationandmanagement.workforcegps.org/resources/2017/Applying_for_ETA_Competitive_Grants-_A_Web-Based_Toolkit-for_Prospective_Applicants))
  - SMART 3.0 Webinar Training Series  
([https://grantsapplicationandmanagement.workforcegps.org/resources/2019/12/15/21/50/SMART\\_3-0\\_Webinar\\_Training\\_Series](https://grantsapplicationandmanagement.workforcegps.org/resources/2019/12/15/21/50/SMART_3-0_Webinar_Training_Series))
  - Effectively Managing ETA Competitive Grants (Grantee Handbook)  
([https://www.doleta.gov/grants/docs/ETA\\_Grantee\\_Handbook.pdf](https://www.doleta.gov/grants/docs/ETA_Grantee_Handbook.pdf))
  - Standard Grant Agreement Template  
([https://www.doleta.gov/grants/pdf/2019\\_Terms\\_Template.pdf](https://www.doleta.gov/grants/pdf/2019_Terms_Template.pdf)) (Note: Updated every year; link provided is the most current as of the publication of the TEGL)
  
- **Apprenticeship Resources**
  - Registered Apprenticeship 101 Boot Camp  
(<https://ase.workforcegps.org/resources/2019/11/05/17/14/Registered-Apprenticeship-101-Bootcamp>)
  - Defining a Quality Pre-Apprenticeship Program and Related Tools and Resources  
([https://wdr.doleta.gov/directives/corr\\_doc.cfm?docn=5842](https://wdr.doleta.gov/directives/corr_doc.cfm?docn=5842))
  - Industry and Equity Contracts
  - AACC Expanding Community College Apprenticeships (ECCA)
  
- **Other Resources:**
  - Skills Commons  
(<https://h1bap.workforcegps.org/resources/2018/06/07/18/53/Skills-Commons>)
  - Competency Model Clearinghouse  
(<https://ase.workforcegps.org/sitecore/content/global/resources/2014/06/10/06/59/competency-model-clearinghouse>)