

U.S. DEPARTMENT OF LABOR
Employment and Training Administration

**NOTICE OF AVAILABILITY OF FUNDS AND FUNDING OPPORTUNITY
ANNOUNCEMENT FOR: STATE APPRENTICESHIP EXPANSION, EQUITY, AND
INNOVATION GRANTS**

ANNOUNCEMENT TYPE: *Initial*

FUNDING OPPORTUNITY NUMBER: *FOA-ETA-21-07*

CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER: *17.285*

KEY DATES: *The closing date for receipt of applications under this Announcement is April 26, 2021. We must receive applications no later than 4:00:00 p.m. Eastern Time.*

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

TABLE OF CONTENTS

EXECUTIVE SUMMARY 1

I. FUNDING OPPORTUNITY DESCRIPTION..... 2

 A. PROGRAM PURPOSE 2

 B. PROGRAM AUTHORITY 3

 C. PROGRAM ACTIVITIES/ALLOWABLE ACTIVITIES 4

 1. Registered Apprenticeship Programs and Quality Framework for Pre-Apprenticeship Programs 4

 2. State Apprenticeship Expansion and Innovation Goals 7

 D. Geographic Scope 15

II. AWARD INFORMATION 15

 A. AWARD TYPE AND AMOUNT 15

 B. PERIOD OF PERFORMANCE..... 16

III. ELIGIBILITY INFORMATION 17

 A. ELIGIBLE APPLICANTS..... 17

 1. Role of the Lead Applicant 18

 2. Required Partners: 19

 3. Optional Partners:..... 19

 B. COST SHARING OR MATCHING..... 19

 C. OTHER INFORMATION..... 19

 1. Application Screening Criteria 19

 2. Number of Applications Applicants May Submit..... 20

 3. Eligible Participants 21

IV. APPLICATION AND SUBMISSION INFORMATION 21

 A. HOW TO OBTAIN AN APPLICATION PACKAGE 21

 B. CONTENT AND FORM OF APPLICATION SUBMISSION..... 22

 1. SF-424, “Application for Federal Assistance” 22

 2. Project Budget 23

 3. Project Narrative..... 26

 4. Attachments to the Project Narrative 36

 C. SUBMISSION DATE, TIME, PROCESS, AND ADDRESS..... 39

 1. Hardcopy Submission..... 40

 2. Electronic Submission through Grants.gov 40

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

D. INTERGOVERNMENTAL REVIEW	42
E. FUNDING RESTRICTIONS.....	42
1. Indirect Costs.....	42
2. Intellectual Property Rights.....	43
3. Use of Grant Funds for Participant Wages.....	44
4. On-the-Job Learning.....	44
5. Grant Recipient Technical Training.....	45
6. Use of Funds for Supportive Services for Apprentices.....	45
7. Use of Funds for Subawards to Employers.....	46
F. OTHER SUBMISSION REQUIREMENTS	46
V. APPLICATION REVIEW INFORMATION.....	47
A. CRITERIA	47
B. REVIEW AND SELECTION PROCESS.....	48
1. Merit Review and Selection Process.....	48
2. Risk Review Process	49
VI. AWARD ADMINISTRATION INFORMATION.....	52
A. AWARD NOTICES.....	52
B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS.....	52
1. Administrative Program Requirements.....	52
2. Other Legal Requirements.....	53
3. Other Administrative Standards and Provisions	57
4. Special Program Requirements	57
C. REPORTING	57
1. Quarterly Financial Reports	58
2. Quarterly Performance Reports.....	58
3. Quarterly Narrative Performance Reports.....	58
VII. AGENCY CONTACTS.....	58
VIII. OTHER INFORMATION	59
A. WEB-BASED RESOURCES	59
B. INDUSTRY COMPETENCY MODELS AND CAREER CLUSTERS.....	59
C. WORKFORCEGPS RESOURCES	59
D. SKILLSCOMMONS RESOURCES	60

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEI Grant Program

IX. OMB INFORMATION COLLECTION 60

APPENDIX A: SUGGESTED PERFORMANCE MEASURE OUTCOME TABLE..... 61

APPENDIX B: SUGGESTED PROJECT WORK PLAN FORMAT 63

APPENDIX C: SUGGESTED ABSTRACT FORMAT 64

APPENDIX D: DEFINITIONS RELEVANT TO THE SAEI FOA 66

EXECUTIVE SUMMARY

The Employment and Training Administration (ETA), U.S. Department of Labor (DOL, or the Department, or we), announces the availability of approximately \$87,500,000 in grant funds authorized by the National Apprenticeship Act for State Apprenticeship Expansion, Equity, and Innovation (SAEEI) Grants to support Registered Apprenticeship Programs (RAPs). We expect to fund 10 to 30 grants, ranging from \$2,000,000 to \$10,000,000, based on state-specific capacity and needs. You may apply for a ceiling amount of up to \$10,000,000.

Of the \$87,500,000 in grants funds available for SAEEI, the Department intends to fund up to \$40,000,000 to states that not only implement required diversity, equity, and inclusion efforts, but also demonstrate their commitment to adopt, expand, and promote diversity, equity, and inclusion efforts as a key state-wide strategy in their registered apprenticeship expansion efforts. Applicants must meet the minimum requirements identified in Appendix E, Diversity, Equity, and Inclusion Plan, to be considered as part of this set-aside. The Department reserves the right to change this amount depending on the quantity and quality of applications submitted.

Under this new SAEEI grant program, the Department will continue efforts to expand Registered Apprenticeship Programs (RAPs) with states as key facilitators. Grant funds will be awarded to governor-led, state initiatives that are expanding and transforming registered apprenticeship by combining industry expansion, incentives, and reform under the state umbrella. Funding will provide states with the flexibility to meet specific industry needs and demands. Collectively, these efforts will aim to achieve the following goals: 1) System expansion to support the development, modernization, and diversification of RAPs; 2) Partnership and alignment to support workforce system integration; 3) Increasing the number of apprentices enrolled in RAPs, including underrepresented populations; and 4) Innovation in program development and recruitment strategies.

Allowable activities under this grant include activities related to establishing or expanding existing RAPs, pre-apprenticeship leading to a RAP, and wrap-around/supportive services that enable participants to succeed in a RAP or pre-apprenticeship programs that directly lead to grant-funded RAPs.

Eligible participants are persons 16 years of age and older who are not enrolled in a RAP at the time of initial grant service. The Department is particularly interested in increasing the diversity of RAP populations by actively recruiting youth, women, people of color, formerly incarcerated individuals, and persons with disabilities, as well as the protected groups identified in 29 CFR Part 30.¹ The Department also remains committed to prioritizing veterans. Further, the Department is interested in targeting the populations and industries most affected or displaced by the COVID-19 pandemic.

¹ <https://ecfr.federalregister.gov/current/title-29/subtitle-A/part-30>

I. FUNDING OPPORTUNITY DESCRIPTION

A. PROGRAM PURPOSE

This Announcement solicits applications for the SAEEI grant program. The purpose of this program is to support the development of new, or the expansion of existing, RAPs, as described in 29 CFR Part 29 (Subpart A) and 29 CFR Part 30. This also includes quality pre-apprenticeship programs that directly lead to grant-funded RAPs during the grant period of performance.² The SAEEI grants will support states to achieve the following goals: 1) Apprenticeship system expansion to support the development, modernization, and diversification of RAPs, particularly as a support for state reemployment and recovery efforts; 2) Partnership and alignment to support workforce system alignment; 3) Increasing the number of apprentices enrolled in RAPs, including from under-represented populations; and 4) Innovation in apprenticeship expansion efforts to include program development and recruitment strategies.

The workplace is radically changing across some industries and employers are increasingly turning to apprenticeship as a workforce development solution. With a 93 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. Research has also shown the following benefits from RAPs for apprentices and employers:

- For every dollar an employer spends on registered apprenticeship they get a return on investment of \$1.47;³
- Over their lifetime, a registered apprenticeship completer earns \$300,000 more than peers who did not enter into a RAP;⁴ and
- From DOL's most recent fiscal year data, the average registered apprenticeship completer earns \$74,000/annum in the year following completion of a RAP.⁵

In the midst and aftermath of the COVID-19 pandemic, expanding the RAP model within states and across the nation will help more individuals gain the skills necessary to fill these vacancies and help more employers find skilled workers more easily and quickly. Apprenticeship can also be a critical strategy to upskill workers and ensure they have the needed for many current and emerging -occupations. Other factors include an aging workforce and technology changes. The

² *Describing a Quality Pre-Apprenticeship and Related Tools and Resources* Training and Employment Notice No. 13-12, available at https://wdr.doleta.gov/directives/attach/TEN/TEN_13-12.pdf

³ Jeffrey A. Cantor, *21st-Century Apprenticeship: Best Practices for Building a World-Class Workforce*. 2015, available at https://books.google.com/books?id=E5a9CgAAQBAJ&dq=every+%241+invested+in+an+apprentice+their+is+a+re+turn+of+%241.47&source=gbs_navlinks

⁴ An Effectiveness Assessment and Cost-Benefit Analysis of Registered Apprenticeship in 10 States. 2012, available at https://wdr.doleta.gov/research/FullText_Documents/ETAOP_2012_10.pdf

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

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

best way to advance apprenticeship strategies is to ensure that business is an active partner in the development of all apprenticeships and has a seat at the table moving forward.

To support registered apprenticeship expansion efforts, alignment to support workforce system integration and leveraging resources across public and private sectors is a critical component of the project design. States and local communities should coordinate and maximize resources and technical assistance across federal, state and local funding streams, as well as from the private sector, to support training, employment services and social supports to increase access to employment opportunities for all Americans. Workforce system alignment will support a coordinated approach to helping state and local governments, working in conjunction with community organizations and labor organizations, to prepare a skilled and diverse workforce for employers. SAEEI partnerships will share data and expertise, leverage and braid public and private financial and in-kind resources to ensure that resources are sufficient to meet the service and training needs of all apprentices served, and establish connections and resource sharing that will be sustained beyond the life of the grant program. This includes leveraging resources from other federally-funded workforce training resources from across government, including training funded by Workforce Innovation and Opportunity Act (WIOA), American Job Center Business Services Teams, the Departments of Transportation, Commerce, Veterans Affairs, and Education, as well as employment support services provided under the U.S. Department of Agriculture's Supplemental Nutrition Assistance Program (SNAP) and the Department of Health and Human Services' Temporary Assistance for Needy Families (TANF). Increased coordination across programs will improve long-term sustainability, beyond the grant period. As another measure to leverage these resources, applicants are encouraged to pursue co-enrollment for participants across other federally-funded programs, as nearly all participants can benefit from other services not provided by the grant (See Section I.C.2.(3) "co-enrollment"). In addition to federal resources, applicants may also seek to leverage private, public, and foundation resources.

Building on these efforts, under the SAEEI grant program, the Department will continue efforts to expand RAPs with states as key facilitators. These resources will enable governors to support strategic RAP functions and increase the system's capacity to create new RAPs while also driving system reform.

Recipients of prior state grants may build on work started under previously awarded grant(s); however, the Department must be able to distinguish how the work using SAEEI grant funds will further develop and expand current RAP opportunities.

B. PROGRAM AUTHORITY

Funds awarded come from the Department's annual appropriation to develop and expand RAPs. This appropriation allows the Department to award funds to "expand opportunities through apprenticeships only registered under the National Apprenticeship Act."⁶ This means recipients

⁶ See Further Consolidated Appropriations Act, 2020, Public Law 116-94, Division A, Title I.

must spend these funds on activities that will create or assist in the creation of RAPs and may not spend funds on Industry Recognized Apprenticeship Programs (IRAPs).

C. PROGRAM ACTIVITIES/ALLOWABLE ACTIVITIES

The SAEEI grant program will expand opportunities in RAPs across a diverse group of industry sectors and increase the participation of employers and industry in developing opportunities in apprenticeship. This includes RAPs, and quality pre-apprenticeship programs that can create diverse talent pipelines that directly lead to grant-funded RAPs, during the grant period of performance.

RAPs funded and developed under this grant program must align with the below requirements. Applicants must demonstrate how well they have met the requirements and how innovative the proposed strategies are to expand RAPs. Further, in meeting SAEEI goals, applicants must leverage and align with DOL-funded registered apprenticeship investments to maximize the use of resources and minimize the duplication of efforts, ultimately ensuring the core customers of the apprenticeship system are served efficiently.

1. Registered Apprenticeship Programs and Quality Framework for Pre-Apprenticeship Programs

a) Registered Apprenticeship Program⁷

RAPs are a proven model of job preparation, registered by DOL or a DOL-recognized State Apprenticeship Agency (SAA), which employ workers and combine paid On-the-Job Learning (OJL) (also referred to as On-the-Job Training (OJT)) with Related Instruction (RI) to progressively increase workers' skill levels and wages. RAPs are also a business-driven model that provide an effective way for employers to recruit, train, and retain highly skilled workers. RAPs allow workforce partners, educators, and employers to develop and apply industry standards to training programs, thereby increasing the quality of the workforce and workforce productivity. RAPs offer job seekers immediate employment opportunities that pay sustainable wages and offer advancement along a career path as they complete their training. Completers of RAPs receive recognized postsecondary credentials, and their training may be applicable toward further post-secondary education.

RAPs are authorized under the National Apprenticeship Act of 1937 (29 U.S.C. 50 et seq.), and implementing regulations located at 29 CFR Part 29 (Subpart A) and 29 CFR Part 30. The Department's Office of Apprenticeship (OA), in conjunction with SAAs, registers programs for federal purposes, ensures that RAPs meet applicable federal and state laws and regulations covering RAPs, issues certificates of completion to apprentices, encourages the development of new programs through outreach and technical assistance, protects the safety and welfare of apprentices, and ensures equal employment opportunity for apprentices. New programs

⁷ https://www.ecfr.gov/cgi-bin/text-idx?SID=b9997eeaeab45b77ad8522923a1e0567&mc=true&node=se29.1.29_12&rgn=div8.

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

developed under this funding opportunity must conform with federal and state laws and regulations covering RAPs.

RAPs supported by this funding opportunity must include the following five key elements:

- Direct Business Involvement
- Structured On-the-Job Learning/Training (OJL/OJT)
- Related Instruction (RI)
- Progressive wage increase
- National Industry Recognized Credential

Please refer to Appendix D for definitions of the five core components referenced above.

RAPs combine an educational or instructional component with a paid work-based learning component. RAPs are registered through the DOL's Office of Apprenticeship or a DOL-recognized SAA. Each RAP, with approval of the Registration Agency, sets its own apprentice to journeyworker guidelines for supervision within the parameters of 29 CFR 29.5(b)(7). Upon successful completion of all phases of work-based learning and related-instruction components, Registered Apprentice completers receive industry-recognized certificates of completion leading to long-term career opportunities. For more information on RAPs, please visit www.apprenticeship.gov.

b) Quality Framework for Pre-Apprenticeship Programs

A pre-apprenticeship program is defined as a set of strategies designed to prepare individuals for entry into a RAP.⁸ Pre-apprenticeship programs 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. Quality pre-apprenticeship programs also support employers' efforts to ensure a diverse and inclusive workforce. If applicants propose strategies that include pre-apprenticeship programs, these programs must lead towards enrollment in RAP during the life of the grant. Applicants should note that individuals enrolled in a pre-apprenticeship program do not count towards the minimum requirement for "participants enrolled in RAP". Participants do not count toward this minimum requirement until they are enrolled in a RAP.

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

- **Designed in Collaboration with RAP Sponsors (Employers).** Quality pre-apprenticeship programs are designed by organizations with input from a RAP sponsor and engagement with business. A pre-apprenticeship program's

⁸ *Describing a Quality Pre-Apprenticeship and Related Tools and Resources* Training and Employment Notice No. 13-12, available at https://wdr.doleta.gov/directives/attach/TEN/TEN_13-12.pdf

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

educational and pre-vocational services prepare individuals to meet the entry requisites of one or more RAPs. 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-apprenticeship programs provide hands-on training to individuals in 1) a workplace, 2) simulated lab experience, or 3) work-based learning environment; and the training does not supplant a paid employee, while accurately simulating the industry and occupational conditions of the partnering RAPs, including 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 program and enters a RAP. Services may include counseling, transportation assistance, childcare, and rehabilitative services, and can often be leveraged through WIOA and other workforce system services.

In addition to the five elements identified above, the Department supports expanded partnership efforts in model pre-apprenticeship training that are a collaboration among:

- Registered Apprenticeship sponsors;
- Workforce development agencies;
- Economic development agencies;
- Business and industry partners;

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

- Labor management organizations;
- Community colleges and other education partners; and
- Job Corps and YouthBuild.

Pre-apprenticeships funded through this grant must directly lead to grant-funded RAPs, during the grant period of performance.

2. **SAEEI Goals**

In addition to ensuring programs align with the criteria for RAP and quality pre-apprenticeships that directly leads to grant-funded RAPs outlined above, applicants must design programs that address SAEEI program goals:

- Apprenticeship system expansion to support the development, modernization, and diversification of RAPs;
- Partnership and alignment to support workforce system integration;
- Increasing the number of individuals enrolled in RAPs, including increasing access to RAPs from under-represented populations; and
- Innovation in apprenticeship expansion efforts to include program development and recruitment strategies.

To support these goals, SAEEI grants must leverage and align DOL-funded registered apprenticeship investments to maximize the use of resources and minimize the duplication of efforts, ultimately ensuring the core customers of the apprenticeship system are served efficiently. DOL-funded registered apprenticeship investments include but are not limited to grants, contracts, cooperative agreements, and, the Department's broader registered apprenticeship diversity, equity, and inclusion efforts.⁹

(1) Apprenticeship System expansion to support the development, modernization, and diversification of RAPs

The Department oversees the national apprenticeship system and the expansion and modernization of apprenticeship and supports facilitating the access of job creators to participate in apprenticeships and to support business-led efforts to make apprenticeship a primary human capital solution. In support of these efforts, one of the main goals for SAEEI grants is to expand the apprenticeship system to support the development, modernization, and diversification of RAPs.¹⁰ Activities funded under this FOA must support structures and resources to strengthen and improve access to RAPs; improve data collection, data sharing, and data integrity; and diversify RAPs.

Development:

States must develop structures that ensure that all RAPs in the state have the features of high-quality apprenticeship described in 29 CFR Part 29 (Subpart A) and 29 CFR Part 30. All

⁹ <https://www.apprenticeship.gov/investments-tax-credits-and-tuition-support>

¹⁰ <https://www.dol.gov/sites/dolgov/files/legacy-files/budget/2019/FY2018-2022StrategicPlan.pdf>

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

states (SAA and Federal) may use grant funds to support structures, resources, and activities that strengthen compliance with 29 CFR Part 29 (Subpart A) and 29 CFR Part 30 by all programs in the state. Federal Apprenticeship States, where the OA administers RAPs, may only propose projects that involve close coordination with OA to improve access to RAPs in the state. This includes developing programs and initiatives that make all potential workforce system partners and stakeholders (including education systems and key employers) aware of RAPs, and empower workers and employers to participate in RAPs, in compliance with 29 CFR Part 29 (Subpart A) and 29 CFR Part 30. Further, applicants should ensure they leverage efforts funded through other DOL-funded investments, to maximize the use of resources and minimize the duplication of efforts.

Modernization:

States must work to improve data sharing and data integrity. States must continue to support integration and improvement of their data systems and development of a data-driven strategic approach. Activities can include:

- Developing or continuing efforts to integrate Registered Apprenticeship Partners Information Data System (RAPIDS) as the state's case management system for sponsors;¹¹
- Developing or continuing efforts to migrate to the Workforce Integrated Performance System (WIPS);¹²
- Unifying Information Technology (IT) systems across states to align with Registered Apprenticeship systems, RAPIDS, WIPS, and other workforce systems;
- Continuing to evaluate IT systems, (e.g., WIPS, RAPIDS, and other data portals), and making immediate corrections;
- 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-level data already recorded in the RAPIDS case management system;
- Reaching out to employers to encourage listing RAPs opportunities on the Finder app on apprenticeship.gov;¹³
- Conducting data validation to ensure data is accurate and complete;
- Participating in DOL's weekly RAPIDS Power User Group (PUG) meetings to collaborate on improving the RAPIDS user experience and data governance; and
- Leveraging efforts funded through other DOL-funded investments, to maximize the use of resources and minimize the duplication of efforts.

¹¹U.S. Department of Labor, Employment and Training Administration, *Registered Apprenticeship National Results Fiscal Year 2019*, 10/01/2018 to 9/30/2019, available at <https://www.dol.gov/agencies/eta/apprenticeship/about/statistics>

¹² U.S. Department of Labor, Employment and Training Administration, *Workforce Integrated Performance System (WIPS)*, available at <https://www.dol.gov/agencies/eta/performance/wips>

¹³ For more information on the Finder app, please see <https://www.apprenticeship.gov/list-yourapprenticeship-jobs>

Diversification:

States must work to diversify RAP opportunities, and develop new industry partnerships and RAPs in new industry sectors. Activities can include but are not limited to:

- Launching or expanding sector strategy(ies) to expand RAPs to new industries and/or new or non-traditional occupations within existing sectors, which for the purposes of this FOA, is defined as occupations that have not traditionally used Registered Apprenticeship;
- Launching or expanding 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);
- Launching or expanding RAPs in health care, mental health care, alternative pain management occupations, and/or occupations providing support to individuals who are affected by substance-use disorder (SUD);
- Developing or expanding RAPs for programming and project management (such as system engineers, database engineers, system architects, application testers, user interface specialists, etc.) that design and support remote learning, (e.g., satellite-based,), over low bandwidth and high latency;
- Launching or expanding RAPs in occupations in the IT or Cybersecurity sectors. DOL is interested in innovative approaches to equipping workers with technical skills and industry-recognized certifications necessary for employment in middle- to high-skilled jobs. Applicants may opt for a mix of training strategies that work best for a variety of populations, from training older out-of-school youth who are interested in transforming their computer literacy or gaming avocations into tech careers;
- Creating new national guidelines and/or local program standards for new RAPs; and
- Leveraging efforts funded through other DOL-funded investments, to maximize the use of resources and minimize the duplication of efforts.

(2) Partnership and alignment to support workforce system integration

States must explore new and expanded opportunities with industry, employers, education and training providers, the workforce system, state and local governments, labor organizations, and other entities, to better coordinate and maximize resources and assistance across federal, state and local funding streams, as well as from the private sector enrollment in and access to apprenticeship opportunities that support workforce system integration. States must advance partnerships with governors, workforce agencies, workforce development boards, and inter-departmental Federal leaders to further align registered apprenticeship with other work-based learning opportunities within state education and workforce systems. Facilitating economic recovery during and following the COVID-19 national emergency is a priority, as states begin to gradually re-open their economies and seek the types of workforce services and programs that will fuel their recovery and effectively address their acute unemployment challenges.

Applicants must propose strategies that leverages OA and other ETA-funded programs (Registered Apprenticeship, YouthBuild, Job Corps, etc.) to facilitate building statewide

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

capacity to increase the number and quality of RAPs through stronger alignment with state agencies and education and workforce systems by using our expertise to connect established programs and partnerships. Activities must demonstrate coordination with industry, employers, local workforce development programs, Career and Technical Education (CTE) programs, secondary and post-secondary educational institutions, and other entities that can provide resources. Activities must also promote alignment between the state education system, state human services programs, other state agencies, and the workforce system through the development of or supporting infrastructure(s) that support large-scale system integration for pathways leading to RAPs. In addition to strategies that applicants propose, OA and ETA will help facilitate connections to state agencies, and education and workforce systems to support grantees achieving their goals.

Allowable activities can include, but are not limited to:

- Developing new, formal partnerships to create a pipeline to RAP opportunities in high-demand occupations and professions within the state;
- Creating new systems and structures to maximize programs and apprentices' access to WIOA and GI Bill benefits and other resources available for RAP in the state;
- Creating formal opportunities for education and training institutions to gauge individuals' experience, employability, interests, and aptitudes, and present to them RAP opportunities that fit their profile;
- Aligning CTE programs with the quality apprenticeship features described in RAP regulations;
- Developing standardized training that uses RAP as a career pathway (e.g., development of a National Career Clusters Framework standardized career training by providing sample study programs and minimum competency skills in non-traditional RAP career fields, including health care, hospitality and tourism, agriculture, and finance);¹⁴
- Leveraging DOL-funded Industry Intermediary contracts to expand access to RAPs in non-traditional apprenticeable industries.¹⁵ These Industry Intermediary contractors are organizations uniquely positioned to convene employers within an industry or sub-sector to determine skill needs and workforce trends and to work with employers on a regional and national level to develop apprenticeship programs with the goal of increasing the number of apprenticeship opportunities.¹⁶
- Increasing awareness of RAPs as a solution to align employment, training, education, and support services for adults and youth, including women, formerly incarcerated individuals, and any underrepresented populations (and those identified in 29 CFR Part 30);
- Utilizing co-enrollment to meet the education, training, supportive service, and employment needs of program participants and provide as many participants as possible with comprehensive services that may not otherwise be available or allowable under an

¹⁴ <https://careertech.org/career-clusters>

¹⁵ For the purposes of this FOA, non-traditional industries are industries that have not traditionally used Registered Apprenticeship.

¹⁶ <https://www.apprenticeship.gov/investments-tax-credits-and-tuition-support/active-grants-and-contracts>

individual grant or funding source. As programs braid funds together to increase impact, they have the opportunity to show integration in the form of participant co-enrollment, including, but not limited to: co-enrollment in the WIOA Adult program, WIOA Youth program, YouthBuild, Job Corps, Trade Adjustment Assistance, Adult Education, CTE, and Vocational Rehabilitation; and

- Increasing alignment between state education and workforce systems through the development or support of policies that promote RAPs; and
- Leveraging efforts funded through other DOL-funded investments, to maximize the use of resources and minimize the duplication of efforts.

(3) Increasing the number of apprentices enrolled in RAPs, including from under-represented populations

A central goal of this FOA is to increase the number of apprentices enrolled in RAPs. In addition to increasing the number of apprentices enrolled in RAPs, the Department is particularly interested in increasing the diversity of RAP populations by actively recruiting and serving youth, women, people of color, formerly incarcerated individuals, and persons with disabilities, as well as the protected groups identified in 29 CFR Part 30. Further, the Department is interested in targeting the populations and industries most affected or displaced by the COVID-19 pandemic.

Projects funded under this FOA must provide participant training and related supportive services (including through other funding streams) that assist participants to successfully complete RAPs, and can include pre-apprenticeship programs that directly lead to grant-funded RAPs during the grant period of performance. Applicants must propose projects that will enroll registered apprentices in numbers at the level corresponding to their proposed funding level. The chart in Section II.A describes the minimum number of registered apprentices that must be enrolled per funding level.

Applicants may also incorporate online training strategies and virtual service delivery models to address challenges impacting RAPs during the COVID-19 pandemic.

Allowable activities can include but are not limited to:

- Recruiting and enrolling into RAPs youth, women, people of color, formerly incarcerated individuals, and persons with disabilities, and the protected groups identified in 29 CFR Part 30;
- Creating the training infrastructure or network to deploy RAPs;
- Creating new national guidelines and/or local program standards for a new RAP;
- Modifying and/or developing curricula to prepare individuals for entry into a RAP, including the incorporation of quality pre-apprenticeship programs, as defined in Section I.C.1.b) of this FOA;
- Conducting participant assessments to determine skill levels, aptitudes, abilities, interests, and competencies of apprentices;

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

- Related Instruction (RI): Grant funds may be used to support the RI (sometimes referred to as classroom training or related technical instruction) of a RAP. Allowable costs include (1) the development of courses; (2) apprentice tuition or other educational fees; and (3) the delivery of instruction requirements (e.g., virtual learning technology, classroom instructors, etc.);
- OJL/OJT: Grant funds may be used to reimburse employers for the extraordinary costs of OJL/OJT. The negotiated reimbursement percentage may not exceed 50 percent of the participant's hourly wage (see Section IV.E.4. On-the-Job Learning/Training);
- Online training strategies and virtual service delivery models to address challenges related to the COVID-19 pandemic;
- Supportive Services: Supportive services for training participants may include services such as, but not limited to: transportation, childcare, dependent care, housing, and needs-related payments that are necessary to enable an individual to participate in education and training activities funded through this grant. Supportive services activities may include: the provision of the actual supportive service (i.e. childcare); providing participants with a voucher for the service (i.e. public transportation cards or tokens); or providing a stipend directly to the apprentice. Funding for supportive services may not exceed 10 percent of the funding level (please refer to Section IV.E.6 Use of Funds for Supportive Services for Apprentices);
- Retaining apprentices through the use of supportive services or flexible program design and approaches, with particular attention on individuals including women, formerly incarcerated individuals, and any underrepresented populations (and those identified in 29 CFR Part 30);
- Pre-apprenticeship program training: As applicable, grant funds may be used to support quality pre-apprenticeship programs and other strategies that can serve as on-ramps to RAP opportunities during the grant period of performance;
- Providing all grant recipient designated partners (e.g., education stakeholders, workforce boards, and employers) with technical assistance, advice, and support to help create RAP standards;
- Increasing awareness of employer/sponsors in the targeted service area about the benefits of RAPs;
- Facilitating industry-specific engagement and support to promote registration of apprenticeship programs with OA or the SAA;
- Collecting data on the required program elements for tracking and reporting performance outcomes of enrolled apprentices; and
- Leveraging efforts funded through other DOL-funded investments, to maximize the use of resources and minimize the duplication of efforts.

While grant funds may be used to fund the training, education, and supportive service costs for apprentices enrolled in programs, the Department also encourages SAEEI applicants to submit proposals that maximize the use of their resources and minimize the duplication of efforts through partnership building, system alignment, and leveraging of other federal and non-

federal funding sources, such as co-enrolling participants with other programs. (Please see Appendix D for the definition on co-enrollment.)

(4) Innovation in apprenticeship expansion efforts to include program development and recruitment strategies

To ensure the federal investment in RAP expansion has as broad of an impact as possible, applicants must propose innovative strategies to support efforts to expand and modernize apprenticeship, particularly around program development and recruitment strategies. Further, applicants should ensure they leverage efforts funded through other DOL-funded investments, to maximize the use of resources and minimize the duplication of efforts.

Applicants must propose innovation activities to address this goal. Allowable activities can include, but are not limited to:

- Innovation in creating access to RAPs for underrepresented populations;
- Innovation in establishing 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. Further, promising practices have shown that employer incentives can play a key role in bringing employers onboard, especially in rural areas. Please see Section IV.E.7 Use of Funds for Subawards to Employers for guidelines around providing incentives to employers;
- Innovation in developing distance learning approaches;
- Innovation in developing occupational frameworks, competencies, standards, or guidelines that can be accessed by multiple employers, especially small businesses, in a given locality, region, or state to quickly start up or expand apprenticeship programs;
- Innovation in developing or modifying training activities to meet the needs of adult and youth populations;
- Innovation in developing and/or expanding programs in industries affected by the COVID-19 pandemic and with an emphasis on the workers most affected/displaced by the COVID-19 pandemic. If an applicant proposes serving groups affected or displaced by the pandemic, states must clearly identify these groups and how the pandemic has affected them;
- Applicants must use Labor Market Information (LMI) data to show how the local economy and employment status of their local population have changed when supporting this information to meet the labor demands of the country;¹⁷
- Innovation in developing and launching Registered Apprenticeship multi-media statewide marketing and outreach efforts targeted at new employers and career seekers. A recent major milestone for registered apprenticeship is the launch of the Discover Apprenticeship national marketing campaign to promote the registered apprenticeship

¹⁷ Traditional LMI is employment statistics, job forecasts, wages, demographics, and other labor market data gathered and made available for the exact purpose of assisting public and private organizations, researchers, and others to better understand today's complex workforce.

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

model. States should ensure their marketing efforts align with and leverage the Department's national marketing campaigns related to Registered Apprenticeship. States should help continue the awareness raised by this marketing campaign, and participate and engage in annual National Apprenticeship Week events;¹⁸

- Innovation in records management to make record of credential attainment available in such a manner that permits program participants to make said record digitally available for third-party search and verification after exit; and
- Innovation in the areas of Technology and/or Technical Assistance (TA) and General Business/Employer Outreach include, but are not limited to, the following:
 - Leveraging technology to develop innovative TA strategies/approaches for Registered Apprenticeship sponsors (e.g., tools to increase access for entry of women, formerly incarcerated individuals, and any underrepresented populations (and those identified in 29 CFR Part 30), and e-tools that remove administrative barriers or improve existing processes);
 - Identifying and implementing specific TA strategies that change existing or create new 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; and
 - Identifying specific strategies to support engagement with small businesses in non-traditional industries in Registered Apprenticeship, which, for the purposes of this FOA, is defined as industries that have not traditionally used 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.

States can also propose innovative activities not listed above, provided its application credibly demonstrates:

- This activity is innovative in the area to be served by the grant, 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;
- This activity is uniquely tailored to the employment or economic needs of the state; and
- The state has a detailed, achievable plan for meeting this activity during the life of the grant.

Consistent with the scoring criteria below, these activities will be evaluated on how they address their state's needs, the RAPs will be created and/or expanded, and on the data that supports the need for the innovation. The plan must clearly identify the activity and strategies to meet and/or grow the objectives, leadership support, resources required, and the expected transformative impact, e.g. how the success of the activity will affect the Registered Apprenticeship system.

¹⁸ To see existing Registered Apprenticeship marketing materials, please visit <https://www.apprenticeship.gov/resource-hub>

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

The Department wishes to ensure that individuals, employers, educators and training providers have access to the most complete, current and beneficial information about providers, programs credentials and competencies supported with these public, federal funds. To this end, the Department requires that information about all credentials (including but not limited to diplomas, badges, certificates, certifications, apprenticeships, licenses, and degrees of all levels and types) and competencies (knowledge, skills and abilities) developed or delivered through the use of these public federal funds be made publicly accessible through the use of linked open data formats that support full transparency and interoperability, such as through the use of credential transparency description language specifications. Moreover, the Department encourages record of credential attainment be made available in such a manner that permits program participants to make said record digitally available for third-party search and verification after exit. ETA will provide specific guidance and technical assistance on data elements to include in the published open data, such as information about the credential provider, the credential and its associated competencies, delivery mode, geographic coverage, the industry sector(s) and occupation(s) for which the credential was developed, related assessments, related accreditations or other quality assurances where appropriate, costs, and available outcomes.

D. GEOGRAPHIC SCOPE

Applicants must serve a statewide geographic scope. The geographic scope is the physical service area in which awarded applicants will serve participants.

II. AWARD INFORMATION

A. AWARD TYPE AND AMOUNT

Funding will be provided in the form of a grant.

We expect availability of approximately \$87,500,000 to fund 10 to 30 grants, ranging from \$2,000,000 to \$10,000,000. You may apply for a ceiling amount of up to \$10,000,000.

Applicants should request funding that is commensurate with the scope and scale of the project proposed, as described below, including aggressive outcome objectives.

Of the \$87,500,000 in grants funds available for SAEEI, the Department intends to fund up to \$40,000,000 to states that not only implement required diversity, equity, and inclusion efforts, but also demonstrate their commitment to adopt, expand, and promote diversity, equity, and inclusion efforts as a key state-wide strategy in their registered apprenticeship expansion efforts. Applicants must meet the minimum requirements identified in Appendix E, Diversity, Equity, and Inclusion Plan, to be considered as part of this set-aside. The Department reserves the right to change this amount depending on the quantity and quality of applications submitted under.

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

Awards made under this Announcement are subject to the availability of federal funds. In the event that additional funds become available, we reserve the right to use such funds to select additional grantees from applications submitted in response to this Announcement.

To ensure that the grant meets its stated goals and outcomes, we have established thresholds for the minimum number of individuals who are newly enrolled in a RAP during the period of performance, based on the amount of funds requested by the applicant (see Figure 1 below). Applicants must clearly identify in the abstract the proposed number of individuals who will newly enroll in a RAP over the life of the grant, based on the minimum thresholds identified in the table below, for which they are seeking funding. Applications that fail to propose the minimum number of individuals who start in a RAP during the period of performance will be considered non-responsive, and the substance of these applications will not be considered and the application not scored.

Funding Request	Minimum Individuals who Newly Enroll in a RAP as a Result of this Grant
\$2,000,000 – 3,999,999	500
\$4,000,000 – 5,999,999	750
\$6,000,000 – 7,999,999	1,000
\$8,000,000 – 10,000,000	1,250

The minimum goals, listed above in Figure 1, identify the minimum number of apprentices who will newly enroll in a RAP during the grant period based on the applicant’s requested funding amount. Applicants may request any funding amount between \$2,000,000 and \$10,000,000 as long as the proposed minimum number of newly enrolled apprentices meets or exceeds the minimum required according to the above table. For example, an applicant requesting funding in the amount of \$2,000,000 must propose to train no fewer than 500 new apprentices, but may propose to enroll more than 500 new apprentices. The minimum enrollment figures cannot be met by proposing expected enrollment of pre-apprentices. While pre-apprentices do not count toward the Minimum Number of Individuals who newly enroll in a RAP target for the purposes of applying for this grant, pre-apprenticeship that leads to a RAP is an allowable activity and those who participate in pre-apprenticeship count toward overall participant numbers reported only after enrollment in a RAP. Please see Appendix A, differentiating “Participants Served” from “Participants Registered.” Applicants should refer to Section IV.B.3.b) Expected Outcomes and Outputs for more information on how they will be scored on the proposed targets.

B. PERIOD OF PERFORMANCE

The period of performance is 48 months with an anticipated start date of July 1, 2021. This performance period includes all necessary implementation and start-up activities. Grant-funded activities include developing and expanding RAPs, providing training to apprentices, and follow-

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

up for tracking and reporting performance outcomes. We expect that hiring appropriate grant project personnel and undertaking start-up activities will begin immediately. For program expansion, grant recipients should begin enrolling apprentices no later than three months after the date of grant award; for new program development, grant recipients should begin enrolling apprentices no later than nine months after the date of grant award. Grant recipients will keep their Federal Project Officers (FPOs) apprised of each major step. FPOs are responsible for grant administration and oversight, and work closely with grantees. We strongly encourage applicants to develop their project work plans and timelines accordingly. Grant recipients must plan to fully expend grant funds during the period of performance.

III. ELIGIBILITY INFORMATION

A. 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 FOA, 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 FOA.

States must identify the state agency that will be the grant recipient (e.g., state workforce agency eligible for funding under Title I of WIOA, state educational agency, or State Apprenticeship Agency (SAA)). This entity must have the capacity to administer the grant, will have sole responsibility for administering the project, and will serve as the grant’s fiscal agent. For states with federally- recognized SAAs, the SAA must be included as a partner. Each state is limited to one individual application for consideration under this opportunity.

The governor or another chief elected official must provide a commitment letter demonstrating the state’s commitment to the SAEEI grant effort. The letter must:

1. Designate the state agency to be the recipient of the award. The state agency must commit to work in partnership with the State Apprenticeship Agency or federal Office of Apprenticeship working within the state.
2. Describe specifically how the governor or chief elected official plans to support the expansion of quality and innovative RAPs being developed or expanded.

Applications that do not include this letter will be considered incomplete and will not move forward through the merit review process. If more than one application is received from a state, the one including the designation from the governor (or chief elected official) will be considered the eligible entity. ETA will consider only one application from each state. If we receive multiple applications from the same state, we will consider only the most recently received application that meets the deadline. If the most recent application is disqualified for any reason,

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEI Grant Program

we will not replace it with an earlier application. No more than one award per state will be executed.

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

Letters sent separate from the application will not be considered in the review process; if the letter is sent separately, as noted above, the application will be considered incomplete and will not be reviewed or receive a score from the merit review process.

1. Role of the Lead Applicant

State agencies serving as the grant recipient must have overall fiscal and administrative responsibility for the grant. Please note that all elements of 2 CFR Part 200 (Revised Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards) and 2 CFR Part 2900 (DOL's Supplement to 2 CFR Part 200) apply to any entity that carries out a federal award as a recipient or sub-recipient, including for-profit organizations. This includes the monitoring and the examination of their records. In addition, the entity may not earn or keep any profit resulting from federal financial assistance. Program income is additive and must be invested into the program.¹⁹

The lead applicant must be the organization specified in Section 8 of the SF-424 Application Form, and its application should indicate it will be:

- i. The point of contact with the Department to receive and respond to all inquiries or communications under this FOA and any subsequent grant award;
- ii. The entity with authority to withdraw or draw down funds through the Department of Health and Human Services - Payment Management System;
- iii. The entity responsible for submitting to the Department all deliverables under the grant, including all technical and financial reports related to the project, regardless of which partnership member performed the work;
- iv. The entity that may request or agree to a revision or amendment of the grant agreement or statement of work;
- v. The entity with overall responsibility for carrying out the programmatic functions of the grant, as well as for the stewardship of all expenditures under the grant;
- vi. The entity responsible for coordinating with the national evaluator (if there is a national evaluation of the program), including participating in a random assignment evaluation and other studies, if selected by DOL; and
- vii. The entity responsible for working with DOL to close out the grant.

¹⁹ §200.307 Program income. https://www.ecfr.gov/cgi-bin/retrieveECFR?gp=1&SID=0e16fa1d64bc3ba5402f6c3eb22671eb&ty=HTML&h=L&n=pt2.1.200&r=PART#se2.1.200_1307

2. Required Partners:

For states with federally-recognized SAAs, the SAA must be included as a partner, if the SAA is not the governor-designated applicant.

As employers and industry stakeholders serve a critical role in the expansion of apprenticeship, applicants should note that under the Project Narrative, Section IV. 3.c. Project Design, scoring will be based on their proposed plan to develop and engage in partnerships with employers and industry in apprenticeship expansion efforts.

3. Optional Partners:

We strongly encourage applicants to collaborate with employers and education or training providers. Other partners that can support and advance the work of SAEI include, but are not limited to, organizations functioning as workforce intermediaries, labor-management organizations, community-based organizations, training providers, and service providers; other organizations to support outreach and training activities, such as: industry-led training organizations, industry intermediaries, unions, or educational organizations; Small Business Development Centers; American Job Centers; community organizations that provide social support and/or wrap-around services; YouthBuild programs; Job Corps centers; WIOA programs; foundations and philanthropic organizations; federally-funded employment programs; and Local Workforce Development Boards and their partners; adult education and higher-education partners; providers of supportive and specialized services; for-profit job training organization; disability service providers; faith-based organizations; agencies administering federal funding from the Departments of Transportation, Defense, Commerce, Veterans Affairs, Education, Health and Human Services, Interior's Bureau of Indian Affairs, and Agriculture; state transportation agencies; and any other federal agencies at the state level that would help the grantee further the goals of the Department.

B. COST SHARING OR MATCHING

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

C. OTHER INFORMATION

1. Application Screening Criteria

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

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEI Grant Program

Application Requirement	Instructions	Complete?
The deadline submission requirements are met	Section IV.C	
Eligibility	Section III.A	
The components of the application are saved in any of the specified formats and are not corrupt. (<i>We will attempt to open the document, but will not take any additional measures in the event of problems with opening.</i>)	Section IV.C.2	
Application federal funds request is at least \$2,000,000 and does not exceed the ceiling amount of \$10,000,000 along with the minimum number of individuals who start in a RAP meets minimum threshold	Section II.A	
For applicants proposing to be considered as part of the \$40,000,000 set-aside for projects that include diversity, equity, and inclusion efforts as a key strategy, they must (1) identify in their abstract that diversity, equity, and inclusion is a key strategy; (2) provide as an attachment to their application a Diversity, Equity, and Inclusion plan; and (3) the Diversity, Equity, and Inclusion plan attachment include the information identified in Appendix E.	Appendix E	
SAM Registration	Section IV.B.1	
SF-424, Application for Federal Assistance	Section IV.B.1	
SF-424 includes a DUNS Number	Section IV.B.1	
SF-424A, Budget Information Form	Section IV.B.2	
Budget Narrative	Section IV.B.2	
Project Narrative	Section IV.B.3	
Governor's Letter	Section III.A	

2. Number of Applications Applicants May Submit

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

3. Eligible Participants

a) Participants Eligible to Receive Training

The intent of this FOA is to fund projects that expand the number of individuals enrolled in RAPs and/or provide pre-apprenticeship programs that directly lead to grant-funded RAPs within the grant's period of performance. For the purposes of this program, eligible participants are persons 16 years of age and older who are not enrolled in a registered apprenticeship program at the time of initial grant service.

You must incorporate specific strategies to support or expand RAP opportunities among all workers, including youth, women, people of color, formerly incarcerated individuals, and persons with disabilities, as well as the protected groups identified in 29 CFR Part 30. These activities must be in compliance with all state, local, and federal equal-employment laws and civil rights protections.

Further, the Department is particularly interested in targeting groups most affected/displaced by the COVID-19 pandemic or other impacts on the state economy. If an applicant proposes serving groups affected or displaced by the pandemic, states must clearly identify these groups and how the pandemic has affected them.

b) Veterans' Priority for Participants

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

IV. APPLICATION AND SUBMISSION INFORMATION

A. HOW TO OBTAIN AN APPLICATION PACKAGE

This FOA, found at www.Grants.gov and https://www.doleta.gov/grants/find_grants.cfm, contains all of the information and links to forms needed to apply for grant funding.

B. CONTENT AND FORM OF APPLICATION SUBMISSION

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

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

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

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

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

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

a) Requirement for DUNS Number

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

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

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

(See Appendix A to 2 CFR Part 25.)

b) Requirement for Registration with SAM

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

A recipient must maintain an active SAM registration with current information at all times during which it has an active federal award or an application under consideration. To remain registered in the SAM database after the initial registration, the applicant is required to review and update the registration at least every 12 months from the date of initial registration or subsequently update its information in the SAM database to ensure it is current, accurate, and complete. For purposes of this paragraph, the applicant is the entity that meets the eligibility criteria and has the legal authority to apply and to receive the award. If an applicant has not fully complied with these requirements by the time the Grant Officer is ready to make a federal award, the Grant Officer may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

2. Project Budget

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

a) Budget Narrative

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

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

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

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

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

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEI Grant Program

Equipment: Equipment costs are not allowed and this line must be left as zero. Equipment is defined as an item with an acquisition cost of \$5,000 or more per unit (or if your capitalization level is less than \$5,000, use your capitalization level) and a useful lifetime of more than one year (see 2 CFR 200.1 for the definition of Equipment). List the item, quantity, and the unit cost per item.

Items with a unit cost of less than \$5,000 are supplies, not “equipment.” In general, we do not permit the purchase of equipment during the last funded year of the grant.

Supplies: Identify categories of supplies (e.g., office supplies) in the detailed budget and list the item, quantity, and the unit cost per item. Supplies include all tangible personal property other than “equipment” (see 2 CFR 200.1 for the definition of Supplies).

Contractual: Under the Contractual line item, delineate contracts and subawards separately. Contracts are defined according to 2 CFR 200.1 as a legal instrument by which a non-federal entity purchases property or services needed to carry out the project or program under a federal award. A subaward, defined by 2 CFR 200.1 means an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a federal program.

For each proposed contract and subaward, specify the purpose and activities to be provided, and the estimated cost.

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

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

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

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

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

or

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

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

- **2 CFR 200.1 Modified Total Direct Cost (MTDC)** means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of \$25,000. Other items may be excluded only when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.

The definition of MTDC in 2 CFR 200.1 no longer allows any sub-contracts to be included in the calculation. You will also note that participant support costs are not included in modified total direct cost. Participant support costs are defined below.

- **2 CFR 200.1 Participant Support Cost** means direct costs for items such as stipends or subsistence allowances, travel allowances, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with conferences or training projects.

See Section IV.B.4. and Section IV.E.1 for more information. Additionally, the following link contains information regarding the negotiation of Indirect Cost Rates at DOL: <https://www.dol.gov/agencies/oasam/centers-offices/business-operations-center/cost-determination>.

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

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

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

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

3. Project Narrative

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

The Project Narrative is limited to 20 double-spaced single-sided 8.5 x 11 inch pages with Times New Roman 12-point text font and 1-inch margins. You must number the Project Narrative beginning with page number 1.

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

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

a) Statement of Need (4 points)

(1) Targeted Industry and Employer Demand (2 points)

- (i) Clear identification of the industries and apprenticeable occupations to be targeted through the grant, including description of the current and future projected state-wide demand for the targeted industry(ies) and occupation(s) and how the targeted industries and apprenticeable occupations meet the education/training needs of individuals to be served. The Department is interested in new or non-traditional apprenticeship occupations within existing sectors or industries, or non-traditional industries in RAPs, which, for the purposes of this FOA, is defined as industries that have not traditionally used Registered Apprenticeship. The Department is also interested in expanding into new occupations in traditional RAP industries. States must take into consideration the impacts of the COVID-19 pandemic and any other significant events affecting local economies within their borders. In order to receive full points, applicants must identify a new or non-traditional apprenticeship occupation and show evidence of COVID-19 impacts on the identified industry or occupation. Full points may be given if a traditional industry or occupation is

identified as affected by COVID-19 and they are adapting their current workforce to meet labor demands and support reemployment efforts.

(2) Identify Gaps in Expanding Registered Apprenticeship (2 points)

(i) Fully describe the state's workforce needs and how RAPs and pre-apprenticeship programs that directly lead to grant-funded RAPs (if applicable) will enhance the labor market, improve the state's economy, and align the workforce systems, such as connecting the education system, employers, labor management organizations, community-based organizations, and nonprofits. For applicants proposing pre-apprenticeship programs that directly lead to grant-funded RAPs, you must describe the concrete steps and strategies you will take to ensure that designated partners move pre-apprentices into RAPs upon completion of the pre-apprenticeship program.

b) Expected Outcomes and Outputs (26 points)

Clearly identify the outcome(s) and output(s) the project is designed to meet. Outcomes are the measurable results of the project. They are the positive benefits or negative changes or measurable characteristics that occur as a result of project activities or outputs. Outputs are tangible products or services that result from the project. In this context, the outcome of this grant project is participant enrollment into a RAP, creation of new RAPs, or expansion of existing RAPs. If an applicant proposes a goal that is not from the list of allowable activities above, the applicant must support expected outcomes and outputs with reliable data, e.g. LMI, past performance, etc.

Applicants will be judged based on how the submitted Performance Measure Outcome Table fully demonstrates the following:

(1) Participant Outcomes and Outputs (16 points)

Applicants that most clearly identify the outcomes and outputs that the project is designed to achieve as a direct result of the proposed project will receive full points.

Applicants must propose to serve the maximum feasible number of participants based on the size of the award requested and local area considerations, such as employer demand and the population of the proposed service area.

Outcomes proposed must be consistent with the chart titled "Figure 1: Minimum Goal Examples for Individuals Enrolled in Registered Apprenticeship During the Grant Period Based on Funding Request" in Section II.A. Applicants must provide a table that clearly identifies the outcomes and the outputs (listed directly below) that the project is designed to achieve. This table will include annual target outcomes that will be used for the purposes of technical assistance. In addition, applicants must describe in a narrative format how these outcomes and outputs align with their project goals.

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

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

Applicants must include comprehensive numerical projections for each of the seven output and outcome measures identified below and defined in Appendix A. Applicants must provide raw numbers for each of the target measures; otherwise, they will not receive full points. Percentages, percent increases, or other types of data projections are not acceptable.

- (i) Total participants served (please refer to Appendix A for the definition of this output measure);
- (ii) Total participants served and who enroll in a RAP (please see minimum participant enrolled in RAP thresholds in Section II.A.) Individuals who only complete a pre-apprenticeship but do not start a RAP are not counted in this output;
- (iii) Total participants who complete a RAP;
- (iv) Total participants who receive a certificate of completion of a RAP;
- (v) Median earnings in the second quarter after exit;
- (vi) Total participants retaining training-related employment in the second quarter after exit; and
- (vii) Total participants retaining training-related employment in the fourth quarter after exit.

Applicants must provide proposed total target numbers for the four-year grant period of performance. Applicants must present their information in a performance measure outcome table (see Appendix A for a sample format) to be included as an attachment to the Project Narrative.

Grantees are required to provide yearly outcome targets, included in their performance measure outcomes table. The Department uses these yearly targets to better track performance and provide technical assistance support to help grantees meet their four-year outcome goals. Only applicants that most clearly identify the outcomes and outputs that the project is designed to achieve as a direct result of the proposed project will be eligible to receive full points.

(2) Expanding Registered Apprenticeship Programs Outputs (10 points)

- (i) Applicants are required to provide targets for the following performance metrics to track the efforts of developing new apprenticeship programs and/or expanding existing RAPs, and the rationale for how the target was derived. These targets must be included in the performance measure outcome table in Appendix A discussed above. Applicants must demonstrate their goals are feasible and achievable in order to be eligible to receive full points. Applicants must provide raw numbers for each of the target outcome measures; otherwise, they will not receive full points. Percentages, percent increases, or other types of data projections are not acceptable.

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

- Total number of all newly created RAPs, (e.g., new industries, occupations, or service areas);
- Total number of existing RAPs if applicable, that are expanded, (e.g., existing industries, occupations, or service areas; or increased number of apprentices registered); and
- Total number of new employers engaged due to the grant (i.e., those employers that adopt apprenticeship programs as a result of your grant project).

c) Project Design (28 points)

Scoring under this criterion is based on how the proposed project design will be implemented. This includes how the applicants will ensure the project is designed to meet the four key SAEEI grant program goals identified in Section I.C.2.

(1) RAP Development, Modernization, and Diversification Strategies (6 points)

- (i) Fully describe strategies to support, expand, or develop structures that ensure that all RAPs in the state have the features of high-quality apprenticeship described in 29 CFR Part 29 (Subpart A) and 29 CFR Part 30, including identifying how the project will strengthen compliance with 29 CFR Part 29 (Subpart A) and 29 CFR Part 30 by all programs in the state; (2 points)
- (ii) Fully describe plans for how funds will be used to diversify RAP opportunities and incentivize new employer and industry partnerships and RAPs. Applicants should ensure this aligns with the industry(ies) and occupation(s) identified in Section VI.3.a.1, Statement of Need; (2 points) and
- (iii) Describe the applicant's current RAP data system, strategies to improve the general alignment of RAP data across state systems to align with Registered Apprenticeship Partners Information Database System (RAPIDS) and Workforce Integrated Performance System (WIPS), and how the integration of IT systems will improve statewide data-driven approaches to expanding RAPs. (2 points)

(2) Partnership and Alignment to Support Workforce System Integration (6 points)

- (i) Fully describe proposed strategies that build statewide capacity to increase the number and quality of RAPs through stronger alignment with state agencies and education and workforce systems. Applicants must clearly identify partners and their roles in supporting alignment of the workforce system and include letters of commitment/memoranda of understanding (MOU) for each partner; (4 points) and
- (ii) Clearly demonstrate strategies to coordinate and maximize resources and assistance across federal, state and local funding streams, as well as from the private sector. (2 points)

(3) Increasing the Number of Apprentices Enrolled in RAPs (6 points)

- (i) Identify the total number of registered apprentices who will enroll in RAPs through the project. Applicants must propose projects that will enroll registered apprentices in numbers at the level corresponding to their proposed funding level. The chart in

Section II.A describes the minimum number of registered apprentices that must be enrolled per funding level. Applicants who do not identify a total number of registered apprentices enrolled in RAPs that aligns with the minimum threshold corresponding to the requested funding amount will receive zero points for this criterion; (2 points) and

- (ii) Fully describe strategies to recruit, enroll, and retain apprentices, including modifying and/or developing curricula, funding for supportive services, provision of TA to designated partners, and targeting employer/sponsors. Additionally, include a detailed description on how the applicant plans to identify and target the underrepresented populations in which the Department is interested in increasing access to RAPs, including youth, women, people of color, formerly incarcerated individuals, and persons with disabilities, as well as the protected groups identified in 29 CFR Part 30. Applicants will be scored on the thoroughness with which they incorporate and utilize the strategies in Section I.C.2.(3). (4 points)

(4) Innovation in Apprenticeship Expansion Efforts (4 points)

- (i) Identify and fully describe innovative strategies to support efforts to expand and modernize apprenticeship, particularly around program development and recruitment strategies, as it aligns with activities identified in Section I.C.2. This description must clearly identify the goal and strategies to meet and/or grow the objectives, leadership support, resources required, and the expected transformative impact, e.g. how the success of the goal will affect the Registered Apprenticeship system; (2 points) and
- (ii) Clearly identify data or other sources that would support the need for the proposed innovation(s). Applicants will be scored on the quality of information, such as LMI, research, etc., that would support the need for the innovation. (2 points)

(5) Work Plan (6 points)

Scoring under this criterion is based on the application identifying and including clear and complete project goals, milestones, key activities, and key partners of the proposed apprenticeship program (as described in Section IV.A). Applicants should provide this information in attachments (See Appendix B for a suggested work plan template). Note: Attachments do not count against the 20-page limitation.

The narrative description must clearly identify the overall project goals and milestones for developing and/or expanding RAPs, or pre-apprenticeship programs that directly lead to grant-funded RAPs. The narrative description must demonstrate that milestones are feasible based on the project design. To that end, the work plan must clearly describe short-term, mid-term, and long-term milestones that capture the results of developing and/or expanding apprenticeships. The work plan must include all of the following:

- (i) Project goals, which are the overarching achievements that will be pursued;
- (ii) Milestones, which are key markers of grant progress; these are typically expressed in the form of an action or event marking a significant change or stage in development;

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

- (iii) Key Activities, including timeframes for development and/or expansion of RAPs, deployment of RAPs, and/or enrollment in RAPs, or pre-apprenticeship programs that directly lead to grant-funded RAPs; and
- (iv) Key partner(s) identified for key activities.

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

(1) Capacity of Lead Applicant, Partnership Structure, and Administrative Controls and Systems (2 points)

The application must include a detailed description demonstrating the lead applicant's capacity to effectively manage each component of the program including a narrative portion and functional organizational chart as indicated below:

- (i) Detailed description demonstrating the lead applicant's capacity to effectively manage each component of the program, including a project management plan and a communications plan for efficient and effective management of the project with all partners and staff and demonstrating its capacity to establish effective procurement processes, systems, and procedures and those of any partners who will be providing any services or conducting any activities under the grant (if applicable). This must include a detailed organizational chart that identifies the lead applicant, registered apprenticeship partnership, 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 against the 20-page limit. (2 points)
- #### **(2) Financial, Data Collection, and Performance Reporting Systems (2 points)**
- (i) Applicants must agree to meet DOL reporting requirements and provide individual record-level data that would be made available for evaluation and national reporting purposes. Please refer to Section VI.C. Applicants must provide a comprehensive description of the existing or planned systems and processes that the lead applicant will use to provide timely and accurate financial and participant-level performance reporting, including the process for tracking participant-level data on participant characteristics, services, activities, and employment outcomes of registered apprentices served through the project to report to the Department during the life of the grant. In addition, the description must detail how these systems will be used to regularly assess progress towards the identified performance goals and that rigorous

performance reporting will be taken into account in staffing and budgeting plans. (2 points)

(3) Sustainability (4 points)

- (i) Detailed description of a clearly delineated sustainability strategy that includes the following elements:
 - a. Convincing description of the resources the program will use to ensure institutional capacity to support the program in the long-term, demonstrating strong potential to continue program activities without future federal funding, including accomplishments or innovations that support a broader workforce development agenda; (2 points) and
 - b. Demonstration of plans for the sustainability of partnerships, in particular, those that align with expanding RAP and workforce system integration. (2 points)

e) Past Performance – Programmatic Capability (30 points)

(1) Evidence of past RAP and Partnership Development (10 points)

Applicants will receive points based on past performance data. Applicants must use the information below and provide the applicable past performance information. Scoring will be based on how the applicant fully demonstrates the following:

- (i) Full description of the state’s prior experience and performance in the development of RAPs, or capacity to expand RAPs on a local, regional, or statewide scale. This could include evidence of existing partnerships, prior experience in expanding RAPs, and the number of apprentices placed in prior grant programs; (4 points)
- (ii) Demonstration that proposed partners have experience in engaging industry and employers in the adoption of RAPs, or in the development of work-based learning programs; (2 points)
- (iii) Demonstration that the state or partners have experience in developing and implementing apprenticeship programs, including pre-apprenticeship programs and RAPs, as well as a description of lessons learned on past Registered Apprenticeship grant activities and proposed solutions to address in future grant programming; and (2 points)
- (iv) Demonstrated ability to integrate and work with existing workforce system and partners. (2 points)

Past Performance and Spending Rate Chart

Applicants who have completed or are currently operating a State Apprenticeship Expansion (SAE) grant awarded in 2016 are required to use the following:

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEI Grant Program

Applicants who have completed or are currently operating a 2016 SAE grant award from the Department will receive points based on past performance from the Quarterly Performance Report and Quarterly Financial Report (ETA-9130) ending 9/30/20. The chosen quarter ending 9/30/20 coincides as close as possible to the original period of performance of these grants. The information below must be provided in a Past Performance Chart (see below) as an attachment to the Project Narrative. For the 2016 SAE grantees, the use of any other grant or data other than the 2016 SAE grant quarter ending 9/30/20 will result in zero points for this rating factor.

Applicants that did not receive a 2016 SAE award, but who have completed another ETA discretionary grant within the last five years are required to use the following:

Applicants who have completed an ETA discretionary grant within the last five years of the closing date of this Announcement must submit past performance for their most recent ETA agreement. The information below must be provided in a Past Performance Chart as an attachment to the Project Narrative.

Applicants who have only completed non-ETA assistance agreements (federal or non-federal grants and cooperative agreements but not federal contracts) are required to use the following:

Applicants who have completed a federally and/or non-federally funded assistance agreement similar in size, scope, and relevance to the proposed project within the last five years of the closing date of this Announcement must provide the information below. The information must be provided in a Past Performance Chart as an attachment to the Project Narrative.

Performance Chart

The Past Performance Chart must include the following information:

- Grantor name and contact information
- Project information/grant objectives
- Performance goals and spending rate analysis

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

(2) Performance Goals (14 points):

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

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

Applicants should use the performance indicators most similar to:

- i. Total number participants served (includes pre-apprentices);
- ii. Total number individuals who enrolled in RAPs;
- iii. Total number of new registered apprenticeship programs developed;

ETA views the above indicators as the most critical to demonstrating that the applicant's past success in a similar program has prepared its organization to succeed in operating a SAEEI grant. If data on the above indicators are not tracked, applicants may substitute a different indicator if the substituted indicator is applicable to the outcomes required in this FOA.

- (i) In the chart, applicants must identify the total number for each performance indicator (goal) for the entire award and the performance outcome for each metric, displayed as both a fraction (e.g., the numerator equal to the number of program participants who achieved the identified indicator and the denominator equal to the total program participants eligible for the identified indicator) and a percentage. For example, when reporting the metric for *Total number participants served (includes pre-apprentices)*, the performance metric description might be: Participants who were served with grant-funded services (either as of 9/30/20 or for the entire grant as specified above) divided by the performance goal set by the grantee/grantor for the entire grant period of performance.

Applicants will receive points based on past performance demonstrated in the performance chart. The performance chart must clearly identify the indicators being used and must include a definition for how the outcome is calculated (e.g. the numerator and denominator for the outcome). DOL reserves the right to disqualify indicators that are determined not to be sufficiently similar to the indicators above and award zero points for non-qualifying indicators.

- Applicants with performance outcomes that met or exceeded all three of their performance goals will receive 14 points.
- Applicants with performance outcomes that met or exceeded two of the three performance goals will receive 7 points.
- Applicants that did not meet two of the three performance goals will receive 0 points.

Below is a sample format for the Past Performance Chart:

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

Name of Previous Grantor Organization:				
Grantor Contact - Name, Title, E-mail Address, and Telephone Number:				
Grantor Signature (if non-ETA grant: _____				
Project Title and Grant Number:				
Project Period of Performance (Example, for a 3-year grant: 7/2/2014-6/30/2017):				
Number of Participants Enrolled:				
Population Served:				
Performance Goals				
Metric	Performance Indicator (Goal)	Performance Outcome	Performance Outcome / Performance Goal	Percentage Rate of Actual Achievement
<i>Total number participants served (includes pre-apprentices)</i>	60	58	58/60	97%
<i>Total number individuals who enrolled in RAPs</i>				
<i>Total number of new registered apprenticeship programs developed</i>				
Spending Rate Analysis				
Grant Funds Received:	Grant Funds Spent (2016 SAE as of 9/30/20. All others, the completed grant)	Total Spent / Total Grant Funds	Percentage Rate of Spending:	
<i>Example: \$1,000,000</i>	\$800,000	\$800,000/ \$1,000,000	80%	
Cost Per Positive Outcome (Provide calculation):				
Example: <i>Total funding / the number of individuals who successfully complete training</i> \$1,000,000 total grant funding / 500 individuals who successfully complete training = \$2,000 / individual who successfully complete training				

(3) Spending Rate and Tracking of Funds (6 points):

- (i) Applicants must submit, as part of the chart of past performance described above, the total grant amount and the grant funds spent. For 2016 SAE grantees, provide the amount of funds spent, shown on the ETA-9130 financial report ending 9/30/20. For all others, provide the amount spent on your completed grant described in the Past Performance and Spending Rate Chart.
- (ii) Additionally, please include in your project narrative an explanation of the process utilized for tracking individual participant services separately by grant award described in the Past Performance and Spending Rate Chart, and how the applicant ensures funds are not comingled with other funding. Applicants should explain the systems they use and improvements they have implemented to the process of tracking different grant funding awarded to states to expand RAPs. Applicants will receive points for their spending rate and narrative, as demonstrated in the chart and project narrative.
 - Applicants that expended at least 80 percent of the grant funds as specified above, and also fully demonstrates their ability to track individual participant grant services from each of their grants to ensure funds are not comingled will receive 6 points.
 - Applicants that expended at least 65 percent of the grant funds as specified above, and also fully demonstrates their ability to track individual participant grant services from each of their grants to ensure funds are not comingled will receive 4 points.
 - Applicants that expended less than 65 percent of the grant funds as specified above but can fully demonstrate their ability to track individual participant grant services from each of their grants to ensure funds are not comingled will receive 2 points.

f) Budget and Budget Narrative (4 points)

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

Scoring will be based on a detailed explanation of how the budget is reasonable and feasible based on the activities outlined in the Project Narrative, how the proposed expenditures will support a comprehensive workforce strategy and training/employment activities in the selected sector for the target populations identified in Section IV.B.3.a)(2)i. Project Narrative, and whether key personnel have adequate time devoted to the project to achieve project results.

4. Attachments to the Project Narrative

In addition to the Project Narrative, you must submit attachments. All attachments must be clearly labeled. We will exclude only those attachments listed below from the page limit. The

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

Budget and Budget Justification do not count against the page limit requirements for the Project Narrative.

You must not include additional materials such as resumés or general letters of support. You must submit your application in one package because documents received separately will be tracked separately and will not be attached to the application for review.

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

a) Required Attachments

(1) Abstract

You must submit an up to two-page abstract summarizing the proposed project including, but not limited to, the scope of the project and proposed outcomes. Omission of the abstract will not result in your application being disqualified; the lack of the required information in the abstract, however, may impact scoring. See III.C.1 for a list of items that will result in the disqualification of your application. See Appendix C for the Suggested Abstract Format. The abstract must include the following:

- i. Lead applicant/organization name;
- ii. Lead applicant entity type;
- iii. Lead applicant city and state;
- iv. Project title/name;
- v. Funding amount requested;
- vi. Identification if proposing diversity, equity, and inclusion efforts as a key strategy in registered apprenticeship expansion efforts and a Diversity, Equity, and Inclusion Plan is included as an attachment to the application;
- vii. Number of apprentices enrolled in RAPs during the life of the grant;
- viii. Population(s) to be served;
- ix. Organization name and entity type of required partner;
- x. Organization names and entity type of optional partners;
- xi. Summary of program activities;
- xii. List of credential(s) to be awarded;
- xiii. The census tract number(s) in your target area designated as a qualified opportunity zone, if applicable; and
- xiv. Public contact information.

(2) A letter from the governor or chief elected official

This letter from the governor must be submitted as an attachment and clearly labeled as “Governor’s Letter.” See III.A for more information. If the applicant does not submit the

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

letter, the application will be considered incomplete and non-responsive, and it will not move forward through the merit review process.

b) Requested Attachments

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

(1) Past Performance Documentation

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

These documents must be uploaded as an attachment to the application package and labeled “Past Performance.”

(2) Letters of Commitment or MOUs

Submit signed and dated Letters of Commitment or Memoranda of Understanding between the applicant and partner organizations and/or sub-grantees that propose to provide services to support the program model and lead to the identified outcomes. See Section IV.B.3.c)

These letters must be uploaded as an attachment to the application package and labeled “Letters of Commitment.”

(3) Project Workplan

Submit a workplan that identifies and includes clear and complete project goals, milestones, key activities, and key partners of the proposed apprenticeship program as described in the narrative in the work plan attachment as outlined in Appendix B. More information in Section IV.B.3.c)4).

These letters must be uploaded as an attachment to the application package and labeled “Workplan.”

(4) Indirect Cost Rate Agreement

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

This document must be uploaded as an attachment to the application package and labeled “NICRA.”

(5) Performance Measure Outcome Table

Submit a Performance Measure Outcome Table that includes comprehensive numerical outcome projections for each of the 10 outcome and output measures identified and defined in Appendix A and Section IV.B.3.b)(i). Applicants must provide raw numbers for each of the target outcome measures; otherwise, they will not receive full points. Percentages, percent increases, or other types of data projections are not acceptable.

A suggested template has been provided in Appendix A.

This document must be uploaded as an attachment to the application package and labeled “Performance Measure Outcome Table.”

(6) Financial System Risk Assessment Information

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

(7) Diversity, Equity, and Inclusion Strategic Plan (optional, as applicable)

For applicants proposing diversity, equity, and inclusion efforts as a key strategy in registered apprenticeship expansion efforts and to be considered under the set-aside, applicants must include as an attachment to the application a Diversity, Equity, and Inclusion plan (see Appendix E, Diversity, Equity, and Inclusion Plan). This attachment should be no more than 3 pages, does not count against the page limit.

Required information to be included in the Diversity, Equity, and Inclusion Plan is included in Appendix E.

This attachment does not impact scoring, however, it will be used to determine applicants that meet the criteria to be considered for funding under the set-aside.

These letters must be uploaded as an attachment to the application package and labeled “Diversity Equity and Inclusion Plan.”

C. SUBMISSION DATE, TIME, PROCESS, AND ADDRESS

We must receive your application by **April 26, 2021**. You must submit your application electronically on <https://www.grants.gov> **no later than 4:00:00 p.m. Eastern Time on the closing date.**

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

1. Hardcopy Submission

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

2. Electronic Submission through Grants.gov

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

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

a) How to Register to Apply through Grants.gov

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

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

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

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

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

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

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

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

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

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

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

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

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

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

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

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

- call 1-800-518-4726 or 606-545-5035 to speak to a Customer Support Representative or
- email support@grants.gov.

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

Late Applications

We will consider only applications successfully submitted through Grants.gov no later than 4:00:00 p.m. Eastern Time on the closing date and then successfully validated. You take a significant risk by waiting to the last day to submit through Grants.gov.

D. INTERGOVERNMENTAL REVIEW

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

E. FUNDING RESTRICTIONS

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

1. Indirect Costs

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

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

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEI Grant Program

proposal or CAP to your federal Cognizant Agency to obtain a provisional indirect cost rate. (See Section IV.B.4. for more information on NICRA submission requirements.)

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

2. 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.

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

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

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

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

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

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

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

3. Use of Grant Funds for Participant Wages

Grant funds may not be used to directly pay wages for apprentices.

4. On-the-Job Learning

For the purposes of grants awarded under this FOA, funds may be used to subsidize the training and education costs for apprentices enrolled in programs and can include reimbursing employers for some of the extraordinary costs of On-the-Job Learning/Training (OJL/OJT). For grants awarded under this FOA, the negotiated reimbursement percentage may be as high as 50 percent of the participant’s hourly wage. However, DOL encourages grant recipients to negotiate lower rates or variable rates (such as starting at the maximum allowable reimbursement rate and reducing the subsidy over time), where possible, to ensure that the maximum number of apprentices will be served by the project. Finally, grant recipients must develop OJL/OJT contracts as discussed below. The contract process sets the ground rules for OJL/OJT with an employer and assists in making the determination if an employer is eligible to provide an OJL/OJT opportunity. The contract must include the federally-required elements of an OJL/OJT agreement; however, states, counties, or municipalities may have additional OJL/OJT contract requirements. Contracts also outline the terms and conditions that the employer and OJL/OJT provider agree to provide for an OJL/OJT experience. Contracts with an employer can be set up

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEI Grant Program

for a specific period of time but need not necessarily specify the individual trainees to whom they apply. This allows the employer to provide training to more than one trainee. If an employer only has one position or plans to limit the training experience to one employee, then a contract must also include the individual trainee's information. For these grants, contracts must provide that the employer is responsible for documenting skills gained by apprentices during the training period. It should also include a description of how the reimbursement level was determined.

For guidance on federally-required elements of an OJL/OJT, sample templates, and other resources, grant recipients may access ETA's online technical assistance related to an OJL/OJT contract on WorkforceGPS.org at the following web address:

<https://businessengagement.workforcegps.org/announcements/2018/01/09/20/48/OJT-Toolkit-Available>

5. Grant Recipient Technical Training

Grant recipients 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.

6. Use of Funds for Supportive Services for Apprentices

While applicants are encouraged to leverage supportive services through WIOA or other funding available, when funds are not otherwise available, grant recipients may use up to 10 percent of grant funds to provide supportive services (as outlined in Section IV.B.3.c.3ii Project Design) to individuals who are participating in education and training activities provided through the grant. Under this FOA, supportive services for training apprentices include services such as transportation, childcare, dependent care, housing, and needs-related payments that are necessary to enable an individual to participate in education and training activities funded through this grant. Grant recipients may provide supportive services in various ways, including, but not limited to, providing the supportive service itself (e.g., childcare); providing apprentices with a voucher for the service (e.g., public transportation cards or tokens); or providing a stipend directly to the apprentice. Where stipends for supportive services are provided, the stipend amount must be for costs of a specific supportive service (e.g., childcare), rather than simply based on an unidentified need.

For the purposes of this FOA, grant recipients may use grant funds, up to the percentage specified above, to provide supportive services only to individuals who are participating in education and training activities provided through the grant, and only when: 1) they are unable to obtain such services through other programs, and 2) such services are necessary to enable individuals to participate in education and training activities under the grant. Grant recipients may establish limits on the provision of supportive services or provide their sub-recipients with the authority to establish such limits, including a maximum amount of funding and maximum length of time for supportive services to be available to apprentices. Grant recipients must

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

ensure that their use of grant funds on supportive services is consistent with their organization's established written policy on the provision of supportive services. Additionally, we encourage grant recipients to identify other sources of funding for supportive services, including through co-enrolling in WIOA.

7. Use of Funds for Subawards to Employers

Applicants may use grant funds to provide one-time "incentive" funds to new employers, joint labor management organizations, or industry associations (or other partners included in a multi-employer partnership) via a subawards to directly fund new RAPs in targeted industries in which they are serving. You must follow the provisions at 2 CFR 200.331-.333 regarding subrecipient monitoring and management. Also see 2 CFR 200.308(c)(6) regarding prior approval requirements for subawards. When awarding subawards, you are required to comply with provisions on government-wide suspension and debarment found at 2 CFR Part 180 and codified at 2 CFR Part 2998.

Allowable uses of incentive funding to support RAP development, launch, and sustainability, include:

- Registration of RAPs with the Department;
- Costs related to design and start-up of RAPs;
- Classroom education or online training for apprentices;
- Extraordinary costs related to on-the-job learning (excluding wages). These extraordinary costs to the employer can be calculated based on an apprentice's wages, as well as based on a journeyworker's time as mentor for an apprentice in OJL;
- Train-the-trainer costs or activities; and/or
- Training supplies for apprentices (in consultation with the Department);
- Curricula development.

These incentive funds must be tied to the goals of this FOA. Applicants must have policies and procedures in place governing the awarding of incentive funds and the incentives provided under this FOA must comply with these organizational policies. Policies and procedures should include detailed processes for identification of recipients, distribution, and management of the incentive funds to ensure employer commitments are met and that all provisions related subawards in 2 CFR 200 are addressed. Further, grantees shall also provide, in quarterly narrative reports to the Department, all recipients of incentive funding, status of activities related to the use of incentive funding, and when feasible, itemized costs related to the use of incentive funding.

F. OTHER SUBMISSION REQUIREMENTS

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

V. APPLICATION REVIEW INFORMATION

A. CRITERIA

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

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

Criterion	Points (maximum)
1. Statement of Need (See Section IV.B.3.a) <u>Statement of Need</u>)	4 total
2. Expected Outcomes and Outputs (See Section IV.B.3.b) <u>Expected Outcomes and Outputs</u>)	26 total
3. Project Design (See Section IV.B.3.c) <u>Project Design</u>)	28 total
4. Organizational, Administrative, and Fiscal Capacity (See Section IV.B.3.d) <u>Organizational, Administrative, and Fiscal Capacity</u>)	8 total
5. Past Performance – Programmatic Capability (See Section IV.B.3.e) <u>Past Performance – Programmatic Capability</u>)	30 total
6. Budget and Budget Justification (See Section IV.B.2. <u>Project Budget</u>)	4 total
TOTAL	100

Standards for Evaluating the Applicant’s Response to each Requirement

Section IV.B.3, Project Narrative, provides a detailed explanation of the information an application must include (e.g., a comprehensive work plan for the whole period of performance with feasible and realistic dates). Reviewers will rate each “rating factor” based on how fully and convincingly the applicant responds. For each “rating factor” under each “criterion,” panelists will determine whether the applicant thoroughly meets, partially meets, or fails to meet the “rating factor,” unless otherwise noted in Section IV.B.3, based on the definitions below:

Standard Rating	Definition	Standard for Calculating Points
Thoroughly Meets	The application thoroughly responds to the rating factor and fully and convincingly satisfies all of the stated specifications.	Full Points
Partially Meets	The application responds incompletely to the rating factor or the application convincingly satisfies some, but not all, of the stated specifications.	Half Points
Fails to Meet	The application does not respond to the rating factor or the application does respond to the rating factor but does not convincingly satisfy any of the stated specifications.	Zero Points

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

B. REVIEW AND SELECTION PROCESS

1. Merit Review and Selection Process

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

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

representation among SAA versus OA states, and other relevant factors. The Grant Officer may consider any information that comes to their attention.

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

2. Risk Review Process

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

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

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

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

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

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEI Grant Program

All applicants are requested to submit the following information as an attachment to their application (suggested template below) for ETA to assess the applicant’s Financial System. This information will be taken into account as one component of ETA’s Risk Review Process. Applicants may use the suggested template or answer the questions in a separate attachment. It is unlikely that an organization will be able to manage a federal grant without the following system/processes in place. Applicants are expected to have these in place before applying for a grant with ETA.

<p>U.S. DEPARTMENT OF LABOR -EMPLOYMENT AND TRAINING ADMINISTRATION (ETA) FUNDING OPPORTUNITY ANNOUNCEMENT: FINANCIAL SYSTEM RISK ASSESSMENT</p>		
SECTION A: PURPOSE		
<p>The financial responsibility of grantees must be such that the grantee can properly discharge the public trust which accompanies the authority to expend public funds. Adequate administrative and financial systems including the accounting systems should meet the following criteria as contained in 2 CFR 200 and 2 CFR 2900.</p> <p>(1) Accounting records should provide information needed to adequately identify the receipt of funds under each grant awarded and the expenditure of funds for each grant.</p> <p>(2) Entries in accounting records should refer to subsidiary records and/or documentation which support the entry and which can be readily located.</p> <p>(3) The accounting system should provide accurate and current financial reporting information.</p> <p>(4) The accounting system should be integrated with an adequate system of internal controls to safeguard the funds and assets covered, check the accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence to prescribed management policies.</p>		
SECTION B: GENERAL		
1. Complete the following items:		
a. When was the organization founded/incorporated (<i>month, day, year</i>)	b. Principal officers Titles	
c. Employer Identification Number:		
d. Number of Employees Full Time: Part Time:		
2. Is the organization or institution affiliated with any other organization: Yes No If yes, please provide details as to the nature of the company (for profit, nonprofit, LLC, etc) and if it provides services or products to the organization in relation to this grant.		3. Total Sales/Revenues in most recent accounting period. (<i>12 months</i>) \$
SECTION C: ACCOUNTING SYSTEM		
1. Has any Government Agency rendered an official written opinion concerning the adequacy of the accounting system for the collection, identification and allocation of costs under Federal contracts/grants? Yes No		
a. If yes, provide name, and address of Agency performing review:	b. Attach a copy of the latest review and any subsequent correspondence, clearance documents, etc.	
	Note: If review occurred within the past three years, omit questions 2-8 of this Section and Section D.	
2. Which of the following best describes the accounting system:	State administered	Internally Developed
		Web-based

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEI Grant Program

3. Does the accounting system identify the receipt and expenditure of program funds separately for each contract/grant?	Yes	No	Not Sure
4. Does the accounting system provide for the recording of expenditures for each grant/contract by the component project and budget cost categories shown in the approved budget?	Yes	No	Not Sure
5. Are time distribution records maintained for an employee when his/her effort can be specifically identified to a particular cost objective?	Yes	No	Not Sure
6. If the organization proposes an overhead rate, does the accounting system provide for the segregation of direct and indirect expenses?	Yes	No	Not Sure
7. Does the organization have an approved indirect cost rate or cost allocation plan? If so, who approved it (Federal Cognizant Agency or a Pass-through Entity)? What are the effective dates?	Yes	No	Not Sure
8. Does the accounting/financial system include budgetary controls to preclude incurring obligations in excess of:			
a. Total funds available for a grant?	Yes	No	Not Sure
b. Total funds available for a budget cost category (e.g. Personnel, Travel, etc)?	Yes	No	Not Sure
9. Does the organization or institution have an internal control structure that would provide reasonable assurance that the grant funds, assets, and systems are safeguarded?	Yes	No	Not Sure
SECTION D: FINANCIAL STABILITY			
1. Is there any legal matter or an ongoing financial concern that may impact the organization's ability to manage and administer the grant? Yes No If yes, please explain briefly.			
SECTION E: FINANCIAL STATEMENTS			
1. Did an independent certified public accountant (CPA) ever examine the financial statements?	Yes	No	
2. If an independent CPA review was performed please attach a copy of their latest report and any management letters issued. Enclosed N / A			
3. If an independent CPA was engaged to perform a review and no report was issued, please provide details and an explanation below:			
SECTION F: ADDITIONAL INFORMATION			

1. Use this space for any additional information (*indicate section and item numbers if a continuation*)

VI. AWARD ADMINISTRATION INFORMATION

A. AWARD NOTICES

All award notifications will be posted on the ETA Homepage at <https://www.dol.gov/agencies/eta/>. Applicants selected for award will be contacted directly before the grant's execution. Non-selected applicants will be notified by mail or email and may request a written debriefing on the significant weaknesses of their application.

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

B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

1. Administrative Program Requirements

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

- i. Non-Profit Organizations, Educational Institutions, For-profit entities and State, Local, and Indian Tribal Governments—2 CFR Part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards) and 2 CFR Part 2900 (DOL's Supplement to 2 CFR Part 200).
- ii. All entities must comply with 29 CFR Part 93 (New Restrictions on Lobbying), 29 CFR Part 94 (Governmentwide Requirements for Drug-Free Workplace (Financial Assistance)), 2 CFR Part 180 (OMB Guidance to Agencies on Government-wide Debarment and Suspension (Non-procurement)), and, where applicable, 2 CFR Part 200 (Audit Requirements).
- 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.

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

- 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 Part 38 – Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Innovation and Opportunity Act.
- ix. 29 CFR Parts 29 and 30—Labor Standards for the Registration of Apprenticeship Programs, and Equal Employment Opportunity in Apprenticeship and Training, as applicable.
- x. The Department of Labor will follow the procedures outlined in the Department’s Freedom of Information Act (FOIA) regulations (29 CFR Part 70). If DOL receives a FOIA request for your application, the procedures in DOL’s FOIA regulations for responding to requests for commercial/business information submitted to the government will be followed, as well as all FOIA exemptions and procedures. See generally 5 U.S.C. § 552; 29 CFR Part 70.
- xi. Standard Grant Terms and Conditions of Award—see the following link:
<https://www.doleta.gov/grants/resources.cfm>.

2. Other Legal Requirements

a) Religious Activities

The Department notes that the Religious Freedom Restoration Act (RFRA), 42 U.S.C. § 2000bb, applies to all federal law and its implementation. This FOA is only open to States. Therefore, this clause is not applicable.

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

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

c) Transparency Act Requirements

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

- Except for those excepted from the Transparency Act under sub-paragraphs 1, 2, and 3 below, you must ensure that you have the necessary processes and systems in place to comply with the subaward and executive total compensation reporting requirements of the Transparency Act, should you receive funding.

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

- Upon award, you will receive detailed information on the reporting requirements of the Transparency Act, as described in 2 CFR Part 170, Appendix A, which can be found at <https://edocket.access.gpo.gov/2010/pdf/2010-22705.pdf>.

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

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

d) Safeguarding Data Including Personally Identifiable Information (PII)

Applicants submitting applications in response to this FOA must recognize that confidentiality of PII and other sensitive data is of paramount importance to the Department of Labor and must be observed except where disclosure is allowed by the prior written approval of the Grant Officer or by court order. By submitting an application, you are assuring that all data exchanges conducted through or during the course of performance of this grant will be conducted in a manner consistent with applicable federal law and TEGL 39-11 (issued June 28, 2012). All such activity conducted by ETA and/or recipient(s) will be performed in a manner consistent with applicable state and federal laws.

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

- i. You must ensure that PII and sensitive data developed, obtained, or otherwise associated with DOL/ETA funded grants is securely transmitted.
- ii. To ensure that such PII is not transmitted to unauthorized users, all PII and other sensitive data transmitted via e-mail or stored on CDs, DVDs, thumb drives, etc., must be encrypted using a Federal Information Processing Standards (FIPS) 140-2 compliant and National Institute of Standards and Technology (NIST) validated cryptographic module. You must not e-mail unencrypted sensitive PII to any entity, including ETA or contractors.
- iii. You must take the steps necessary to ensure the privacy of all PII obtained from participants and/or other individuals and to protect such information from unauthorized disclosure. You must maintain such PII in accordance with the ETA standards for information security described in TEGL NO. 39-11 and any updates to such standards we provide to you. Grantees who wish to obtain more information on data security should contact their Federal Project Officer.

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

- iv. You must ensure that any PII used during the performance of your grant has been obtained in conformity with applicable federal and state laws governing the confidentiality of information.
- v. You further acknowledge that all PII data obtained through your ETA grant must be stored in an area that is physically safe from access by unauthorized persons at all times and the data will be processed using recipient-issued equipment, managed information technology (IT) services, and designated locations approved by ETA. Accessing, processing, and storing of ETA grant PII data on personally owned equipment, at off-site locations, (e.g., employee's home), and non-recipient managed IT services, (e.g., Yahoo mail), is strictly prohibited unless approved by ETA.
- vi. Your employees and other personnel who will have access to sensitive/confidential/proprietary/private data must be advised of the confidential nature of the information, the safeguards required to protect the information, and that there are civil and criminal sanctions for noncompliance with such safeguards that are contained in federal and state laws.
- vii. You must have policies and procedures in place under which your employees and other personnel, before being granted access to PII, acknowledge their understanding of the confidential nature of the data and the safeguards with which they must comply in their handling of such data, as well as the fact that they may be liable to civil and criminal sanctions for improper disclosure.
- viii. You must not extract information from data supplied by ETA for any purpose not stated in the grant agreement.
- ix. Access to any PII created by the ETA grant must be restricted to only those employees of the grant recipient who need it in their official capacity to perform duties in connection with the scope of work in the grant agreement.
- x. All PII data must be processed in a manner that will protect the confidentiality of the records/documents and is designed to prevent unauthorized persons from retrieving such records by computer, remote terminal, or any other means. Data may be downloaded to, or maintained on, mobile or portable devices only if the data are encrypted using NIST validated software products based on FIPS 140-2 encryption. In addition, wage data may be accessed only from secure locations.
- xi. PII data obtained by the recipient through a request from ETA must not be disclosed to anyone but the individual requestor, except as permitted by the Grant Officer or by court order.
- xii. You must permit ETA to make onsite inspections during regular business hours for the purpose of conducting audits and/or conducting other investigations to assure that you are complying with the confidentiality requirements described above. In accordance with this responsibility, you must make records applicable to this Agreement available to authorized persons for the purpose of inspection, review, and/or audit.
- xiii. You must retain data received from ETA only for the period of time required to use it for assessment and other purposes, or to satisfy applicable federal records retention requirements, if any. Thereafter, you agree that all data will be destroyed, including the degaussing of magnetic tape files and deletion of electronic data.

e) Record Retention

You must follow federal guidelines on record retention, which require that you maintain all records pertaining to grant activities for a period of at least three years from the date of submission of the final expenditure report. See 2 CFR 200.334-.338 for more specific information, including information about the start of the record retention period for awards that are renewed quarterly or annually, and when the records must be retained for more than three years.

f) Use of Contracts and Subawards

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

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

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

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

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

You must follow the provisions at 2 CFR 200.331-.333 regarding subrecipient monitoring and management. Also see 2 CFR 200.308(c)(6) regarding prior approval requirements for subawards. When awarding subawards, you are required to comply with provisions on government-wide suspension and debarment found at 2 CFR Part 180 and codified at 2 CFR Part 2998.

g) Closeout of Grant Award

Any entity that receives an award under this Announcement must close its grant with ETA at the end of the final year of the grant. Information about this process may be found in ETA's Grant Closeout FAQ located at <https://www.doleta.gov/grants/docs/GCFAQ.pdf>.

3. Other Administrative Standards and Provisions

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

4. Special Program Requirements

a) ETA Evaluation

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

b) Performance Goals

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

C. REPORTING

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

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

1. Quarterly Financial Reports

A Quarterly Financial Status Report (ETA 9130) is required until such time as all funds have been expended or the grant period has expired. Quarterly reports are due 45 days after the end of each calendar-year quarter. On the final Financial Status Report, you must include any subaward amounts so we can 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 TEGl 02-16 and our webpage at https://www.doleta.gov/grants/financial_reporting.cfm.

2. Quarterly Performance Reports

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

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

3. Quarterly Narrative Performance Reports

In addition to the Quarterly Performance Report, the grantee must a Quarterly Narrative Report within 45 days after the end of each calendar year quarter during which the grant is within the period of performance for the award. The report includes quarterly information regarding accomplishments, including project success stories, upcoming grant activities, and promising approaches and processes, as well as progress toward performance outcomes, including updates on product, curricula, and training development.

VII. AGENCY CONTACTS

For further information about this FOA, please contact Matthew Carls, Grants Management Specialist, Office of Grants Management, at (202) 693-3433. Applicants should e-mail all technical questions to carls.matthew.l@dol.gov and must specifically reference FOA-ETA-21-07, and along with question(s), include a contact name, fax and phone number. This

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEI Grant Program

Announcement is available on the ETA website at <https://www.doleta.gov/grants> and at <https://www.grants.gov>.

VIII. OTHER INFORMATION

A. WEB-BASED RESOURCES

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

B. INDUSTRY COMPETENCY MODELS AND CAREER CLUSTERS

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

C. WORKFORCEGPS RESOURCES

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

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

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

We created a technical assistance portal at <https://grantsapplicationandmanagement.workforcegps.org/> that contains online training and

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

resources for fiscal and administrative issues. Online trainings available include, but are not limited to, Introduction to Grant Applications and Forms, Indirect Costs, Cost Principles, and Accrual Accounting.

D. SKILLSCOMMONS RESOURCES

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

IX. OMB INFORMATION COLLECTION

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

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

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

Signed March 18, 2021, in Washington, D.C. by:

Brinda Ruggles

Grant Officer, Employment and Training Administration

APPENDIX A: SUGGESTED PERFORMANCE MEASURE OUTCOME TABLE

A.	Participant Outputs and Outcomes		
1	Total participants served Total number of all participants served (receiving a grant-funded service through this grant). <i>Participants: individuals determined eligible under the FOA who receive a grant-funded service, including those who enter pre-apprenticeships and RAPs.</i>	Year 1: Year 2: Year 3: Year 4:	Total: <i>Note: total should equal sum of Year 1-4</i>
2	Total participants served and who enter a Registered Apprenticeship Program <i>See minimum number of individuals who start in a RAP thresholds in Section II.A. Individuals who only complete a pre-apprenticeship but do not start a RAP are not counted in this outcome.</i>	Year 1: Year 2: Year 3: Year 4:	Total:
3	Total participants who complete a Registered Apprenticeship Program	Year 1: Year 2: Year 3: Year 4:	Total:
4	Total participants who receive a certificate of completion of a RAP	Year 1: Year 2: Year 3: Year 4:	Total:
5	Median earnings in the second quarter after exit	Year 1: Year 2: Year 3: Year 4:	Total:
6	Total participants retaining training-related employment in the second quarter after exit	Year 1: Year 2: Year 3: Year 4:	Total:
7	Total participants retaining training-related employment in the fourth quarter after exit.	Year 1: Year 2: Year 3: Year 4:	Total:
B.	Expanding Registered Apprenticeship Program Outputs		
1	Total number of all newly created apprenticeship programs, including newly created Registered Apprenticeship Programs.		Total:

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

2	Total number of existing apprenticeship programs, including Registered Apprenticeship Programs, that are expanded (e.g., new industries, occupations or service areas, or increased number of apprentices registered).	Total:
3	Total number of new employers engaged due to the grant (i.e., those employers that adopt Registered Apprenticeship Programs as a result of your grant project).	Total:

Please Note:

- Applicants should provide targets in raw numbers; percentages or other types of data projections are not acceptable.
- Applicants should provide targets for each year of the grant and for the total grant period. The figure provided for the total should equal the sum of the projections for each year.
- While applicants are required to propose goals for the ten outcome categories identified in Section IV.3.B. Expected Outcomes and Outputs, which are specific to this FOA, they will also be required to report outcomes in alignment with outcomes identified for apprenticeship grants in OMB No. 1205-0521, as applicable.

APPENDIX B: SUGGESTED PROJECT WORK PLAN FORMAT

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

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

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

APPENDIX C: SUGGESTED ABSTRACT FORMAT

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

State Apprenticeship Expansion, Equity, and Innovation Grants	
Lead Applicant / Organization Name:	
Lead Applicant Entity Type:	
Lead Applicant City and State:	
Project Title:	
Funding Amount Requested:	
<p>Application proposing diversity, equity, and inclusion efforts as a key strategy in registered apprenticeship expansion efforts and Diversity, Equity, and Inclusion plan is included as application to application.: Y/N</p> <p><i>(see Appendix E for Diversity, Equity, and Inclusion Plan requirements)</i></p>	
<p>Total Number of apprentices enrolled in RAPs during the life of the grant:</p> <p><i>(see the chart in Section II.A describes the minimum number of registered apprentices that must be enrolled per funding level)</i></p>	
Populations to be Served:	
List the name of the Required Partner <i>(for states with federally-recognized SAAs):</i>	
List the name(s) of Optional Partners , as applicable:	
<i>Insert name(s)</i>	<i>Insert type of organization</i>
<i>[add additional lines as needed]</i>	
Targeted Industry(ies) and/or Occupation(s):	
Summary of program activities:	
List of credential(s) to be awarded:	
The census tract number(s) in your target area designated as a qualified opportunity zone, if applicable:	
Public Contact Information Name:	

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEI Grant Program

Title: Address: Phone Number: Email Address.

APPENDIX D: DEFINITIONS RELEVANT TO THE SAEEI FOA

Co-enrollment. The intent of co-enrollment is to meet the education, training and employment needs of program participants and provide as many participants as possible with comprehensive services that may not otherwise be available or allowable under an individual grant or funding source. As programs braid funds together to increase impact, they have the opportunity to show integration in the form of participant co-enrollment, including but not limited to co-enrollment in the WIOA Adult program, WIOA Youth program, YouthBuild, Job Corps, Adult Education, Career and Technical Education, and Vocational Rehabilitation.

Direct Business Involvement. Employers are the foundation of all RAPs and are an essential component in every design of a RAP program. Employers or their joint apprenticeship training committees must play an active role in developing and expanding RAPs, and are most critical in delivering the OJL/OJT of the apprenticeship program.

National Industry Recognized Credential. Every completer of a RAP receives an industry-recognized credential, referred to as a Certificate of Completion, which is issued by the DOL or a federally recognized SAA. This portable credential signifies that the apprentice is qualified to perform in an occupation. Many RAPs (particularly in high-growth industries such as healthcare, advanced manufacturing, and transportation) also offer interim credentials as apprentices master a variety of skills as part of a career pathway. These interim credentials, based on specific measurable and technical skills, may also positively count towards the WIOA Credential Attainment Rate.

Progressive wage. Apprentices receive increases in pay as their skills and knowledge increase. Progressive wage increases motivate apprentices as they advance through training and become more productive and skilled at their job. Registered apprentices must receive at least one pay increase during the RAP.

Related Instruction (RI). Apprentices receive RI (sometimes referred to as related technical instruction) or classroom style training that complements the OJL/OJT. 29 CFR 29.2, Part A, defines “Related Instruction” as “an organized and systematic form of instruction designed to provide the apprentice with the knowledge of the theoretical and technical subjects related to the apprentice's occupation. Such instruction may be given in a classroom, through occupational or industrial courses, or by correspondence courses of equivalent value, electronic media, or other forms of self-study approved by the Registration Agency.” Federal regulations recommend a minimum of 144 hours of Related Instruction annually for apprentices. This instruction helps refine the technical and academic skills that apply to the job. An accredited training provider such as a community college, technical school or college, an apprenticeship training school, an online provider, the sponsor, or a combination of sources, may provide related instruction. This instruction can be provided at the school, online, or at the work site. It can also be front-loaded, where the related instruction occurs upfront and prior to the OJL/OJT, it can be simultaneously provided with the OJL/OJT (e.g., in the evenings or weekends), or it could be segmented or

ETA FUNDING OPPORTUNITY ANNOUNCEMENT: SAEEI Grant Program

provided sporadically throughout the OJL/OJT. These different modalities highlight the flexibility inherent in this registered apprenticeship model in order to meet unique industry and apprentice needs.

Structured On-the-Job Learning/ Training. All RAPs include structured OJL/OJT in a RAP. Companies hire apprentices and provide hands-on training from an experienced professional. This training is developed by mapping the skills and knowledge the apprentice must learn over the course of the program to be fully proficient in the occupation. At a minimum, OJL/OJT for apprentices must last a year (for competency-based occupations) or 2,000 hours (for time-based occupations).

APPENDIX E: DIVERSITY, EQUITY, AND INCLUSION PLAN (OPTIONAL, AS APPLICABLE)

(for applicants that propose diversity, equity, and inclusion efforts as a key strategy in their Registered Apprenticeship expansion efforts)

For applicants proposing projects that include diversity, equity, and inclusion efforts as a key strategy, they must (1) identify in their abstract that diversity, equity, and inclusion is a key strategy; (2) provide as an attachment to their applicants a Diversity, Equity, and Inclusion plan; and (3) the Diversity, Equity and Inclusion Plan attachment must fully address all of the following five (5) criteria to be considered under the set-aside:

1. Identify how the state is providing technical assistance to RAP sponsors to facilitate their implementation of the minimum Equal Employment Opportunity (EEO) in Apprenticeship requirements found at 29 C.F.R. 29 Part 30;
2. Demonstrate the state's commitment to adopt, expand, and promote the proposed diversity, equity and inclusion activities statewide;
3. Demonstrate how the state will institutionalize these activities into their state-wide apprenticeship expansion efforts;
4. Demonstrate that the plan will lead to sustained and replicable diversity, equity, and inclusion efforts during and after the grant period of performance; and
5. Applicants must also provide a brief summary that identifies how the proposed Diversity, Equity, and Inclusion plan aligns with SAEI program goals and the applicant's proposed project to:
 - Apprenticeship system expansion to support the development, modernization, and diversification of RAPs;
 - Partnership and alignment to support workforce system integration;
 - Increasing the number of individuals enrolled in RAPs, including increasing access to RAPs from under-represented populations; and
 - Innovation in apprenticeship expansion efforts to include program development and recruitment strategies.

Diversity, Equity, and Inclusion Plans can be up to three (3) pages total and do not count against the application page limitations. Applicants that do not fully address the above criteria or do not propose projects that include diversity, equity, and inclusion efforts as a key strategy will not be considered for funding under the set-aside. However their application will still be reviewed in response to this FOA.