U.S. DEPARTMENT OF LABOR
Employment and Training Administration

NOTICE OF AVAILABILITY OF FUNDS AND FUNDING OPPORTUNITY ANNOUNCEMENT FOR: ApprenticeshipUSA State Expansion Grants

ANNOUNCEMENT TYPE: *Initial*

FUNDING OPPORTUNITY NUMBER: *FOA-ETA-16-13*

CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER: 17.285

KEY DATES: *The closing date for receipt of applications under this Announcement is* ***September 5, 2016****.* We *must receive applications no later than* **4:00:00 p.m. Eastern Time***.*

ADDRESSES: *Address mailed applications to:*

> *The U.S. Department of Labor*
> *Employment and Training Administration, Office of Grants Management Attention:*
> *Lynn Fraga, Grant Officer*
> *Reference FOA-ETA-16-13*
> *200 Constitution Avenue, NW, Room N4716*
> *Washington, DC   20210*

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

EXECUTIVE SUMMARY:

Building on historic bipartisan support from Congress and leadership across a broad range of States, the Employment and Training Administration (ETA), U.S. Department of Labor (DOL, or the Department, or we), announces the availability of approximately $50.5 million to fund an estimated 33 quality grant applications competitively awarded to States[1] through grant funds authorized by the Consolidated Appropriations Act of 2016 for ApprenticeshipUSA State Expansion Grants. Should Congress appropriate additional funds for this purpose in FY 2017 and 2018, we may consider up to two additional rounds of continuation awards under this solicitation. Grants will be awarded to an estimated 33 successful applicants. Fiscal Year 2016 funding may range from $700,000 to $3,200,000 and be available for expenditure by the grantees for a period of up to 18 months. Continuation funding to grantees is subject to the discretion of DOL and contingent upon the availability of funds, satisfactory progress of the grantee's project, and adequate stewardship of federal funds.

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[1] As used throughout this Funding Opportunity Announcement (FOA), the term "State" is defined in 29 CFR § 29.2: "State means any of the 50 States of the United States, District of Columbia, or any Territory or possession of the United States."

This investment marks the first time that the Federal government will provide funding to support States in their efforts to expand and diversify Registered Apprenticeship to better respond to industry workforce demands. In many States, apprenticeship is a component of, but not fully integrated into, State economic, workforce, and education talent development systems. These ApprenticeshipUSA State Expansion Grants will provide States with an opportunity to further align resources to innovate and expand this proven workforce strategy.

As the economy continues to grow, businesses across all industries are expressing the need for a pipeline of skilled workers to help them remain competitive. Registered Apprenticeship is a global, tried and true workforce development strategy that offers apprentices opportunities to earn a salary while learning the skills employers demand in a variety of occupations across industries, such as an aircraft mechanic in Advanced Manufacturing, an electrician in the Building Trades, a nursing assistant in Healthcare, or a coder in Information Technology. For employers, Registered Apprenticeship serves as an opportunity to grow their own workforces and meet skill needs for the future.

The Department's goal is to double and further diversify Registered Apprenticeships[2] across the country. Currently, there are approximately 450,000 Registered Apprentices in the United States, and American and international employers are increasingly turning to Registered Apprenticeship as a workforce solution that provides workers with 21st century skills. Apprenticeships offer a solid return on investment for everyone involved, including the nation as a whole. A 2012 Mathematica evaluation of 10 States found that for every dollar invested in Apprenticeship, the tax returns were $27; and total benefits were more than $35.[3] Nearly nine out of ten apprentices are employed after completing their apprenticeships, with an average starting wage of over $50,000 per year.[4] Workers who complete a Registered Apprenticeship are projected to make over $240,000 more than their peers during their lifetimes.[5]

The Department's goals for ApprenticeshipUSA State Expansion Grant funding are threefold:
1) Help States advance Registered Apprenticeship as a workforce development strategy and post-secondary education career pathway that maintains the nation's strong, adaptable, and highly skilled workforce.

2) Support integrated, Statewide apprenticeship strategies and State capacity to engage industry and meet the demand for new programs in both traditional and non-traditional industries such

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[2] The National Apprenticeship Act (NAA) (also known as the Fitzgerald Act), enacted in 1937, authorizes the Federal government, in cooperation with the States, to oversee the nation's apprenticeship system. DOL's Office of Apprenticeship (OA), in conjunction with State Apprenticeship Agencies (SAAs), is responsible for registering apprenticeship programs that meet Federal and State standards, issuing Certificates of Completion to apprentices, encouraging the development of new programs through outreach and technical assistance, protecting the safety and welfare of apprentices, and assuring that all programs provide high quality training to their apprentices. DOL/Office of Apprenticeship (OA) staff in 24 States and State Apprenticeship Agency (SAA) staff in 26 States share these responsibilities.

[3] Reed, D. et. al. (July 25, 2012). An effectiveness assessment and cost-benefit analysis of Registered Apprenticeship in 10 States. Retrieved from http://wdr.doleta.gov/research/FullText_Documents/ETAOP_2012_10.pdf

[4] This data was obtained from the Common Reporting Information System and the Registered Apprenticeship Partners Information Data System.

[5] Reed, D. et. al. (July 25, 2012). An effectiveness assessment and cost-benefit analysis of Registered Apprenticeship in 10 States. Retrieved from http://wdr.doleta.gov/research/FullText_Documents/ETAOP_2012_10.pdf

as IT, Healthcare, Advanced Manufacturing, Building Trades, Cybersecurity, and Business Services.

3) Catalyze State innovations to significantly increase apprenticeship opportunities for all American workers, particularly low-income individuals[6] and underrepresented populations in apprenticeship including youth, women, communities of color, Native Americans, and persons with disabilities, and take steps to facilitate their successful completion of apprenticeship programs.

ApprenticeshipUSA State Expansion Grant funding will help States to develop and implement comprehensive strategies to support apprenticeship expansion; engage industry and workforce intermediaries[7], employers, and other partners to expand and market apprenticeship to new sectors and underserved populations; enhance State Capacity to conduct outreach and work with employers to start new programs; and expand and diversify participation in apprenticeship through State innovations, incentives, and system reforms. By launching the ApprenticeshipUSA State Expansion Grants initiative, the Department is helping States to bring together the right partners to strengthen their apprenticeship systems. For more information on ApprenticeshipUSA tools and resources see Appendix F.

Grant amounts will range from up to $700,000 - $3,200,000, based on the current number of apprentices in the State and the State's level of activities and commitment to innovate and expand Registered Apprenticeship. The Department has developed 3 funding categories, with each State being placed in a category based on the number of Registered Apprentices currently being served.

Grant Category	Current Apprentices	Funding Range
Category 1	7,000 or more	$1.3 million - $3.2 million
Category 2	2,500 – 6,999	$900,000 - $2.45 million
Category 3	2,499 or fewer	$700,000 - $2.0 million

Applicants with more than 7,000 Apprentices are eligible for Category 1 funding. Applicants with between 2,500-6,999 Apprentices are eligible for Category 2 funding. Applicants with 2,499 or fewer Apprentices are eligible for Category 3 funding. While these categories are the basis for variation in funding amounts, States with a State Apprenticeship Agency (SAA) will be eligible to receive a supplemental amount of funding because of the added expenses normally incurred by those States to manage the apprenticeship promotion, oversight, and overall workload in the State compared to those States which leverage DOL's Office of Apprenticeship (OA) to administer programs. States may also

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[6] As used in this FOA, the term "low-Income Individual" has the same meaning as at Section 3(36) of WIOA. *See* 29 U.S.C. 3102(36).

[7] For the purposes of Registered Apprenticeship expansion, industry and workforce intermediary is defined as an entity which serves as a conduit between employers, as well as other industry partners, and DOL to accelerate apprenticeship program development and help broker sector-based apprenticeship partnerships at the State and regional level. Industry and workforce intermediaries are uniquely positioned to convene employers and other key partners to determine workforce trends, and can assist in 1) defining Registered Apprenticeship program goals; 2) informing program design; 3) identifying necessary skills, competencies, and credentials; 4) identifying career pathways; 5) providing assistance with program implementation; and 6) helping to solicit on-going employer feedback on the skills and competencies of workers completing Registered Apprenticeship training. Industry and workforce intermediaries may specialize in a specific sector or possess expertise to partner with entities that cut across more than one market.

apply for additional funding by proposing Innovation pilots (also commonly referred to throughout the FOA as Cap Breaker Innovation pilots or Cap Breaker awards) in one or both of the following two areas: Expanding Access to Underrepresented Populations; and Increasing Industry Demand for Apprenticeship (See Section IV.B.4). Cap Breaker awards will only be awarded to applicants that receive a base award.

Eligible Applicants are States, as defined in 29 C.F.R. § 29.2. The period of performance is 18 months with an anticipated start date of November 1, 2016. States should identify the State agency that will be the grant recipient (e.g., State Workforce Agency, Economic Development Agency, or SAA). This entity will have the 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.

The Department encourages the use of leveraged funds to support this effort. States may identify State resources as well as other foundation, private, and Federal funding to support expansion activities. Grant funds must not supplant existing State funding streams currently supporting Registered Apprenticeship, including resources being allocated to SAAs and State-based apprenticeship initiatives (e.g., training funds, tax credits).

I.   FUNDING OPPORTUNITY DESCRIPTION

A.   PROGRAM PURPOSE

The Department's goal is to double and further diversify Registered Apprenticeships across the country. Currently, there are approximately 450,000 Registered Apprentices in the United States and American and international employers are increasingly turning to Registered Apprenticeship as a workforce solution to help workers acquire 21st century postsecondary education credentials. Registered Apprenticeship is a flexible, work-based training model that: (1) allows workers to earn a salary while they learn the skills employers demand in a variety of occupations and (2) meets national standards for registration with DOL, or with a DOL-recognized SAA.

Apprenticeships are available in a range of occupations and industries including an Airline Mechanic in Advanced Manufacturing, a pharmacy technician in the Healthcare industry, an electrician in the building trades, or a coder in Information Technology. The average starting salary for an apprenticeship graduate is over $50,000 a year.[8] However, challenges remain to achieve the scale necessary to make Registered Apprenticeship widely available to more Americans and to meet the skill requirements of employers. At 450,000, the current number of apprentices represents a relatively small proportion of the labor force compared with other industrialized nations.   To put this number in a global context, the United States would need more than six times as many new apprentices to be on the same per capita level as Great Britain. It would take a sixteen-fold increase for the U.S. to be on par with the number of apprentices in Germany.[9]

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[8] Source: FY 2016 data from RAPIDS, Federally-managed Office of Apprenticeship States. Non-military/civilian data only.
[9] Center for American Progress: Training for Success A Policy to Expand Apprenticeships in the United States. 2013. https://cdn.americanprogress.org/wp-content/uploads/2013/11/apprenticeship_report.pdf

Increasing demand for apprenticeship begins with marketing to employers, industry and workforce intermediaries, and other key stakeholders in the business community. Areas that employ an apprenticeship 'salesforce' are able to more quickly gain business champions who can vouch for the model's success in training workers. The Department, with the help of States and other partners, is helping to identify business champions with a list that now includes businesses from a range of industries including, Ford, Siemens, Pepperidge Farms, Zurich, Nestle, Dow, among over 170 additional organizations. States are well positioned to support this business engagement and help translate interest into the development and registration of new apprenticeship programs in a range on industry sectors.

In addition to creating more demand for Registered Apprenticeship, another key challenge is to ensure apprenticeship opportunities are open to all workers. Today, only about 20% of apprentices across the country are under age 25, with the average age closer to 28. At the same time, there are currently close to 4 million youth under the age of 25 with a high school diploma who cannot find full-time work, many of whom could benefit from an apprenticeship.[10] While some areas, industries, and organizations have created innovative approaches to connect secondary and post-secondary education pathways to apprenticeship, it remains an underutilized tool for increasing youth employment rates.

There is also increased attention on diversifying Registered Apprenticeships. DOL, in coordination with Registered Apprenticeship sponsors and other key stakeholders, continues to advance this key policy goal, but more work must be done. To illustrate this point, the Center for American Progress found that "in 2012, only 6% of active apprentices in the United States were women, up slightly from 5% in 2008." Statistics also show that additional efforts are needed to increase opportunities for communities of color, youth, persons with disabilities, and Native Americans, among others. In addition, the Department is committed to ensuring individuals with disabilities have access to Registered Apprenticeship programs which will open doors to good jobs for people with disabilities. Although data on apprentices with disabilities is unavailable, the overall labor force participation rate for people with disabilities is low. A snapshot of available demographic data is displayed below. As employers recruit and hire from a diverse set of potential employees, they increase opportunities to become more innovative and adaptable to ever changing market conditions.

Fiscal Year 2015 Data on Registered Apprentices by Gender, Ethnicity, and Race[11]

Gender	% of Total Apprentices
Female	6%
Male	94%

Ethnicity	% of Total Apprentices
Hispanic	20%
Non-Hispanic	53%
Not Reported	27%

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[10] Ibid.

[11] Source: FY 2016 data from RAPIDS, Federally-managed Office of Apprenticeship States. Non-military/civilian data only.

Race	% of Total Apprentices
Asian	1.6%
Black or African American	10.0%
Native Hawaiian or other Pacific Islander	1.1%
American Indian or Alaska Native	3.1%
White	60.6%
Not Reported	23.6%

Fiscal Year 2015 Disability Labor Force Participation Rates Ages 16 Years and Over[12]

Civilian Labor Force	Labor Force Participation Rate
People with disabilities	19.7%
People without disabilities	68.5%

Approaches to addressing these challenges may include: 1) scaling up the development of apprenticeship opportunities across a wider variety of industries and occupations; 2) creating innovative career pathways programs that align with Registered Apprenticeship programs; and 3) providing more outreach and education to explain the benefits of apprenticeship, especially to traditionally underrepresented populations.

Up to this time, federal funding for State apprenticeship strategies, promotion, program development, and technical assistance has been scarce, and there is a wide variation in apprenticeship use among States. To this end, ApprenticeshipUSA State Expansion Grant funding will help States develop and implement comprehensive strategies to drive apprenticeship expansion; engage industry and workforce intermediaries, employers, and other partners to expand and market apprenticeship to new sectors and underserved populations; enhance State capacity to conduct outreach and work with employers to start new programs; and expand and diversify participation in apprenticeship through State innovations, incentives, and system reforms. By launching the ApprenticeshipUSA State Expansion Grant initiative, the Department is taking a critical first step in charting a new path forward for ApprenticeshipUSA, with States as the key facilitators. Our goals for ApprenticeshipUSA State Expansion Grant funding are three fold:

1. Help States advance Registered Apprenticeship as a workforce strategy and post-secondary education career pathway that maintains the nation's strong, adaptable, and highly skilled workforce.
2. Support integrated, Statewide apprenticeship strategies and State Capacity to engage industry and meet the demand for new programs in both traditional and non-traditional industries such as IT, Healthcare, Advanced Manufacturing, Building Trades, Cybersecurity, Business Services, among others.
3. Catalyze State innovations to significantly increase apprenticeship opportunities for all American workers, particularly low-income individuals and underrepresented populations in

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[12] Source: Bureau of Labor Statistics, http://data.bls.gov/timeseries/LNU01374597 and http://data.bls.gov/timeseries/LNU01374593.

apprenticeship including youth, women, communities of color, Native Americans, and persons with disabilities.

Based on the goals outlined above, we are interested in funding applications that will lead to increased apprenticeship opportunities within the State through the following strategies, which are defined in the Project Design section:

- Governor-supported ApprenticeshipUSA State Expansion Strategy
- Build State Capacity to Support Apprenticeship Expansion
- State Alignment of Registered Apprenticeships with Workforce, Education and Economic Development Strategies
- Supporting Employer Demand through Strong Engagement with Industry and Workforce Intermediaries
- Increased Participation in Apprenticeship of Traditionally Underrepresented Populations through Innovative Equity and Inclusion/Diversification Strategies
- State Investment and Leveraged Resources in Apprenticeship Expansion
- Statewide Promotion and Outreach
- Apprenticeship Data Collection, Reporting, and Regulatory Modernization
- Efforts to promote quality Registered Apprenticeship programs
- Plan for Continuation Funding

Allowable Activities:
Grant funds can cover expenses that support State apprenticeship capacity and State innovation and expansion activities described in the recipient's grant including but not limited to:[13]

- State system alignment, capacity, and subject matter expertise to embed apprenticeship as a key training vehicle for employers within the State.
- Provide a range of training services that support individuals enrolled in a Registered Apprenticeship program, including: classroom occupational training; development of curricula and standards for apprenticeship; online and technology-based learning; accelerated and competency-based training that integrates academic and occupational skills training; and apprenticeship training costs and other supportive services.
- Outreach and communication to support strategies for engaging employers, parents, educators, underrepresented populations, other critical stakeholders, and State residents; explaining the benefits of apprenticeship; and generating further support across the State.
- Partner, industry and workforce intermediary, and employer engagement such as convening State and Regional industry round table events; peer-to-peer exchanges; State apprenticeship institutes; Secondary and Post-Secondary partnerships; and ApprenticeshipUSA training and consultation.
- Program administration to improve program efficiency, program quality and outcome measurement such as project management, data collection and grant reporting, grant monitoring and evaluation.

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[13] Section IV.E. describes the rules regarding the allowability of costs under this grant.

- Registered Apprenticeship incentives such as State apprenticeship training funds, State-level incentives/credits for Registered Apprenticeships, apprenticeship training costs and other supportive services; and other types of seed funding to industry and workforce intermediaries and employers.
- Pathways to Registered Apprenticeship opportunities such as, career awareness models for underrepresented populations, career pathway development activities, and quality pre-apprenticeships and career pathway programs as defined in Training and Employment Notice 13-12 at: http://wdr.doleta.gov/directives/corr_doc.cfm?docn=5842.
- Modernizing IT systems and data collection. States may use a portion of these funds to enhance data collection Capabilities and reporting of individual records (i.e., Registered apprentices and program sponsors) to the Office of Apprenticeship

B. PROGRAM AUTHORITY

This program is authorized under the Consolidated Appropriations Act, 2016, Pub. L. 114-113., Div. H, Title I; the National Apprenticeship Act, 29 U.S.C. § 50; and 29 C.F.R. Part 29.

II. AWARD INFORMATION

A. AWARD TYPE AND AMOUNT

Building on historic bipartisan support from Congress and leadership across a broad range of States, the Employment and Training Administration (ETA), U.S. Department of Labor (DOL, or the Department, or we), announces the availability of approximately $50.5 million to fund an estimated 33 quality grant applications competitively awarded to States[14] through grant funds authorized by the Consolidated Appropriations Act of 2016 for ApprenticeshipUSA State Expansion Grants. Should Congress appropriate additional funds for this purpose in FY 2017 and 2018, we may consider up to two additional rounds of continuation awards under this solicitation. Grants will be awarded to an estimated 33 successful applicants. Fiscal Year 2016 funding may range from $700,000 to $3,200,000 and be available for expenditure by the grantees for a period of up to 18 months. Continuation funding to grantees is subject to the discretion of DOL and contingent upon the availability of funds, satisfactory progress of the grantee's project, and adequate stewardship of federal funds.

Applicants may apply for funding up to the base amount and Cap Breaker amounts in the relevant category described below. Applications for base or Cap Breaker funding that exceed the amounts provided below will be deemed non-responsive and will not be considered for funding. Awards made under this FOA are subject to the availability of Federal funds.

Summary Table: Funding Amounts by Category and Eligible States

	Category 1 = approximately 11 grants	Category 2 = approximately 11 grants	Category 3 = approximately 11 grants
Size Category	7000 or more	2500-6999	Fewer than 2499

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[14] As used throughout this Funding Opportunity Announcement (FOA), the term "State" is defined in 29 CFR § 29.2: "State means any of the 50 States of the United States, District of Columbia, or any Territory or possession of the United States."

	Registered Apprentices		Registered Apprentices		Registered Apprentices	
	OA States	**SAA States**	**OA States**	**SAA States**	**OA States**	**SAA States**
Base Awards (amounts up to)	$1.3 Mil	$1.5 Mil	$900k	$1.05 Mil	$700k	$800k
Equity Cap Breaker Innovation Pilot *Section IV.B.4* (amounts up to)	$500k		$500k		$500k	
Industry Cap Breaker Innovation Pilot *Section IV.B.4* (amounts up to)	$1.2M		$900k		$700k	
Total Range per State (amounts up to)	**$1.3 - $3.0 million**	**$1.5 - $3.2 million**	**$900k -$2.3 million**	**$1.05 - $2.45 million**	**$700k-$1.9 million**	**$800k - $2.0 million**
Applicable States	California, Illinois, Indiana, Michigan, Missouri, Texas	Florida, Hawaii New York, Ohio, Oregon, Pennsylvania, Massachusetts, Minnesota, Maryland, Virginia, Wisconsin, Washington	Alabama, Arkansas, Arizona, Colorado, Georgia, Iowa, New Jersey, South Carolina, Tennessee, Utah, West Virginia	District of Columbia, Connecticut, Kansas, Kentucky, Louisiana, North Carolina	Alaska, Idaho, Mississippi, Nebraska, New Hampshire, North Dakota, Oklahoma, South Dakota, Wyoming	Delaware, Maine, Montana, Nevada, New Mexico, Rhode Island, Vermont, Guam, Puerto Rico, U.S. Virgin Islands
Total Available by Category (amounts up to)	**$23.3 million**		**$15.2 million**		**$12.0 million**	

If there are remaining available base or Cap Breaker funds in each Category because, for example, there are fewer than 11 applicants for base awards or the Department decides not to fund 11 applicants from a category (for example, if there are not 11 applicants that meet the scoring threshold set by the Department), then the Department reserves the right to re-distribute available base or Cap Breaker funding to other categories to fund additional applicants. Base award funding will only be used to fund additional base awards, Equity Cap Breaker funds will only be used to fund additional Equity Cap Breaker awards, and Industry Cap Breaker funding will only be used to fund additional Industry Cap Breaker awards.

Applications for base awards and Cap Breaker awards will be reviewed with other applications from States falling within the same category, regardless of whether they are an OA State or an SAA State (i.e., all Category 1 States, regardless of whether they are an OA State or an SAA State, will be scored together). The applications will be reviewed using the same rating criteria and will be scored based on merit.

Base Award:

The Department has created three funding categories to:

- Allow for equity in award process by comparing apprenticeship systems of similar size.

- Facilitate building a more robust apprenticeship system across the country by targeting expansion for different sized apprenticeship programs.

The amount of base funding available depends on the number of apprentices served by the State given that this is the most critical indicator of apprenticeship workload. States with more than 7,000 Apprentices are eligible for Category 1 funding. States with between 2,500-6,999 Apprentices are eligible for Category 2 funding. States with 2,499 or fewer Apprentices are eligible for Category 3 grant funding.[15]

SAA Supplemental Funding:

SAAs are eligible for supplemental funding because of the added expenses normally incurred by those States to manage the apprenticeship promotion, oversight, and overall workload in the State compared to those States which use Federal staff in DOL's OA to administer programs (commonly known as "OA Managed States"). SAA States are required to use all of the supplemental funding awarded specifically for the SAA, even if the SAA is not the grant recipient, but the State may not use these funds to supplant existing funding for the SAA. (Please see specific SAA supplemental funding amounts under each Category breakout below).

Cap Breaker Award:

States may also apply for additional funding under the Cap Breaker component by proposing Innovation pilots in one or both of the following areas:

- Option 1: Innovation Pilots to Expand Access to Underrepresented Populations in the amount of up to $500,000 for all categories; and/or
- Option 2: Innovation Pilots to Increase Industry Demand for Apprenticeship in the amounts of up to:
    - $1,200,000 for Category 1 States.
    - $900,000 for Category 2 States.
    - $700,000 for Category 3 States.

Cap Breaker awards will only be awarded to applicants that receive a base award. A separate budget and narrative must be submitted in order to be considered for these pilot funds. Please refer to Section IV.B.4 for more information on applying for Cap Breaker awards.

Below is the breakdown of the ApprenticeshipUSA State Expansion Grant funding based on the three categories:

Category 1 (States serving over 7,000 Registered Apprentices)

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[15] The number of apprentices represent the quarter ending December 31, 2015. The numbers are captured through the Registered Apprenticeship Partners Information Data System (RAPIDS) database, or through aggregate reports submitted by SAAs to USDOL's Office of Apprenticeship.

The Department plans to award approximately 11 grants ranging from up to $1,300,000 - $3,200,000 to States that meet the criteria for Category 1. OA managed States in this Category may apply for a base amount of up to $1,300,000, and have the option to exceed that amount by proposing one or both Cap Breaker Innovation pilot projects of up to $500,000 or $1,200,000, for a total maximum grant award of up to $2,800,000. State Apprenticeship Agency (SAA) States in this Category may apply for a base amount of up to $1,500,000, and have the option to exceed that amount by proposing one or both Cap Breaker Innovation pilot projects, for a total maximum grant award of up to $3,200,000. Total funding for this Category including base and Cap Breaker awards is approximately $23,500,000.

The following States are eligible for award amounts described in Category 1:

- **SAA States –** Virginia, New York, Ohio, Pennsylvania, Washington, Massachusetts, Minnesota, Wisconsin, Maryland, Florida, Hawaii, and Oregon
  - **Base Award:** Up to $1,500,000 (includes $200,000 supplemental funding for the SAA)
  - **Cap Breaker Innovation pilots (optional–See Section IV.B.4):**
    - Equity: Up to $500,000
    - Industry: Up to $1,200,000
  - **Total Funding Range:** up to $1,500,000 - $3,200,000*
    - *Note the upper level is for States who submit a successful base application plus successful responses to both Cap Breaker innovation pilots.
- **OA Managed States** -- California, Texas, Illinois, Michigan, Indiana, and Missouri
  - **Base Award**: Up to $1,300,000
  - **Cap Breaker Innovation pilots (optional–See Section IV.B.4):**
    - Equity: Up to $500,000
    - Industry: Up to $1,200,000
  - **Total Funding Range:** Up to $1,300,000 - $3,000,000*
    - *Note the upper level is for States who submit a successful base application plus successful responses to both of the special pilot projects.

Category 2 (States Serving 2,500 – 6,999 Registered Apprentices)

The Department plans to award approximately 11 grants, ranging from up to $900,000 - $2,450,000, to States that meet the criteria for Category 2. OA managed States in this Category may apply for a base amount of up to $900,000, and have the option to exceed that amount by proposing one or both Cap Breaker innovation pilot projects of up to $500,000 or $900,000, for a total maximum grant award of up to $2,300,000. SAA States in this Category may apply for a base amount of up to $1,050,000, and have the option to exceed that amount by proposing one or both Cap Breaker Innovation pilot projects, for a total maximum grant award of up to $2,450,000.   Total funding for this Category including base and Cap Breaker awards is approximately $15,300,000.

The following States are eligible for award amounts described in Category 2:

- **SAA States –** District of Columbia, Connecticut, North Carolina, Louisiana, Kentucky, and Kansas
  - o **Base Award:** Up to $1,050,000 (includes $150,000 supplemental funding for the SAA)
  - o **Cap Breaker Innovation pilots (optional –See Section IV.B.4):**
    - ▪ Equity: Up to $500,000
    - ▪ Industry: Up to $900,000
  - o **Total Funding Range:** Up to $1,050,000 - $2,450,000*
    - ▪ *Note the upper level is for States who submit a successful base application plus successful responses to both of the special pilot projects.

- **OA Managed States** - Iowa, West Virginia, Georgia, New Jersey, South Carolina, Tennessee, Colorado, Alabama, Arkansas, Arizona, and Utah
  - o **Base Award**: Up to $900,000
  - o **Cap Breaker Innovation pilots (optional–See Section IV.B.4):**
    - ▪ Equity: Up to $500,000
    - ▪ Industry: Up to $900,000
  - o **Total Funding Range:** Up to $900,000- $2,300,000*
    - ▪ *Note the upper level is for States who submit a successful base application plus successful responses to both of the special pilot projects.

Category 3 (States serving fewer than 2,499 Registered Apprentices)

The Department plans to award approximately 11 grants, ranging from up to $700,000 - $2,000,000, to States that meet the criteria for Category 3. OA managed States in this Category may apply for a base amount of up to $700,000, and have the option to exceed that amount by proposing one or both Cap Breaker Innovation pilot projects of up to $500,000 or $700,000, for a total maximum grant award of up to $1,900,000. SAA States in this Category may apply for a base amount of up to $800,000, and have the option to exceed that amount by proposing one or both Cap Breaker Innovation pilot projects, for a total maximum grant award of up to $2,000,000.   Total funding for this Category including base and Cap Breaker awards is approximately $12,100,000.

The following States are Eligible for Award Amounts Described in Category 3:

- **SAA States –** Nevada, New Mexico, Rhode Island, Montana, Delaware, Vermont, Guam, Maine Puerto Rico, and the U.S. Virgin Islands
  - o **Base Award:** Up to $800,000 (includes $100,000 supplemental funding for the SAA)
  - o **Cap Breaker Innovation pilots (optional–See Section IV.B.4):**
    - ▪ Equity: Up to $500,000
    - ▪ Industry: Up to $700,000
 - o **Total Funding Range:** Up to $800,000 - $2,000,000*

- *Note the upper level is for States who submit a successful base application plus successful responses to both of the special pilot projects.

- **OA Managed States –** Nebraska, Alaska, Mississippi, New Hampshire, Oklahoma, North Dakota, Idaho, South Dakota, and Wyoming
  - o **Base Award:** Up to $700,000
  - o **Cap Breaker Innovation pilots (optional–See Section IV.B.4):**
    - Equity: Up to $500,000
    - Industry: Up to $700,000
  - o **Total Funding Range:** Up to $700,000 - $1,900,000*
    - *Note the upper level is for States who submit a successful base application plus successful responses to both of the special pilot projects.

B. PERIOD OF PERFORMANCE

The period of performance is 18 months with an anticipated start date of November 1, 2016. This performance period includes all necessary implementation and start-up activities.

The graphic below provides an illustration of overlapping periods of performance under the scenario where three awards are made under this solicitation (FY 2016 funding plus 2 additional continuation awards contingent upon FY 2017 and FY 2018 appropriations and other factors).
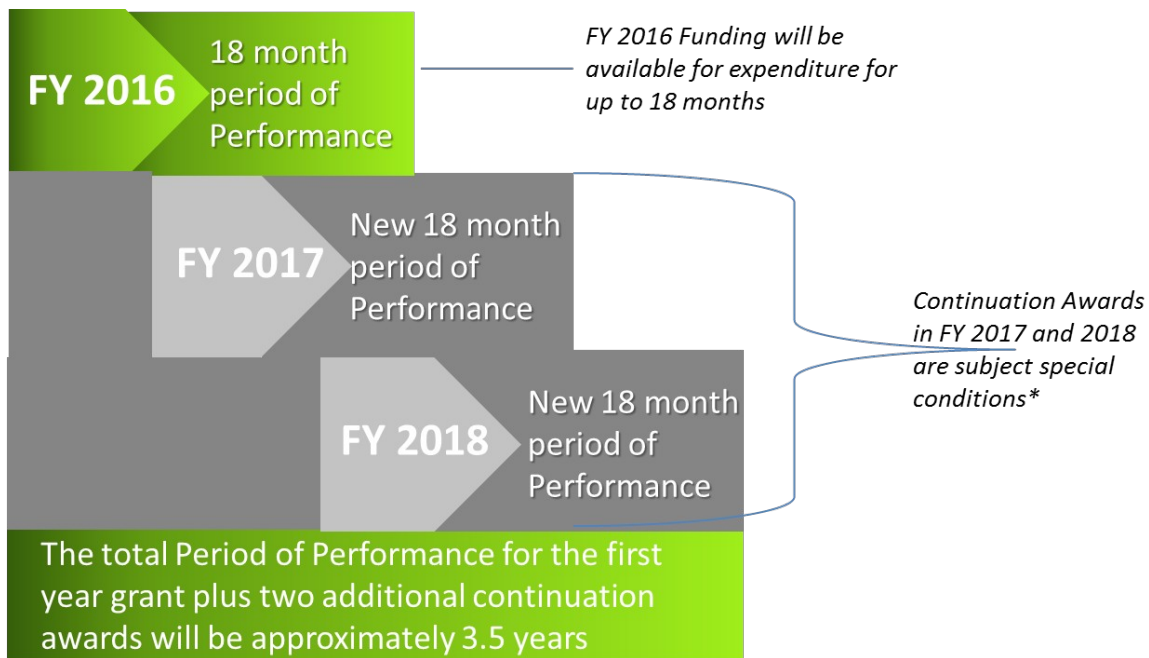
Note: Continuation funding to grantees is subject to the discretion of DOL and contingent upon the availability of funds, satisfactory progress of the grantee's project, and adequate stewardship of federal funds

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III.   ELIGIBILITY INFORMATION

A.   ELIGIBLE APPLICANTS

The following organizations are eligible to apply:
Eligible entities are States, as defined at 29 CFR § 29.2. 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."

Applicants must identify the State agency that will be the grant recipient (e.g., SAA, Economic Development Agency, State Workforce Agency, State Technical College System, etc.). This entity will have the sole responsibility for administering the project and will serve as the ApprenticeshipUSA State Expansion Grants' fiscal agent.   Only one application will be accepted from each applicant. For State's with federally recognized SAAs, the SAA must be included as a partner receiving the supplemental SAA grant amounts but does not need to be the grant recipient.

B.   COST SHARING

Cost sharing or matching funds are not required for this program. Applicants should not propose matching funds as it is not a requirement of this FOA. Please note that any resources contributed to the project are considered leveraged resources and do not constitute cost sharing or matching funds. Cost sharing or match is not one of the application screening criteria.

While there is no match requirement and applicants should not propose matching funds, applicants will be scored based on the proposed availability and usefulness of leveraged resources to carry out the State's plan. Leveraged resources are contributions made from resources outside of this funding to support the State's ApprenticeshipUSA grant plan. This includes funds and other resources leveraged from businesses, labor organizations, education and training providers, and/ or Federal, State, and local government programs (i.e., staff, time, services, products, and other non-cash resources). Leveraged resources are a critical component of the project design and applicants will be scored based on the extent leveraged resources are proposed as described in Section IV.

C.   OTHER INFORMATION

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

Application Requirement	Instructions	Complete?
The deadline submission requirements are met	Section IV.C	
If submitted through Grants.gov, the components of the application are saved in any of the specified formats and are not corrupt. (*We will attempt to open the document, but will not take any additional measures in the event of problems with opening*.)	Section IV.C.	
Application Federal funds request does not exceed the ceiling amount based on the applicable category.	Section II.A	
SAM Registration	Section IV.B.1	
SF-424, Application for Federal Assistance	Section IV.B.1	
SF-424 includes a DUNS Number	Section IV.B.1	
SF-424A, Budget Information Form	Section IV.B.2	
Budget Narrative	Section IV.B.2	
Project Narrative	Section IV.B.3	
Abstract	Section IV.5	
Cap Breaker Project Narrative(s) and budget information (SF-424, 424A, narrative) *Note: if applying for these funds and not submitted, only the Cap Breaker application will be deemed non-responsive and the applicant's base funding application will still be considered if it meets the screening criteria.*	Section IV.B.4	

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

We will consider only one application from each applicant.   If we receive multiple applications from the same State, we will only consider the most recently received application that meets 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*

   Participants Eligible to Receive Services and Training under this grant are all individuals who are 16 years of age or older.

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 http://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 http://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 the following separate and distinct parts:

   (1) SF-424 "Application for Federal Assistance;"
   (2) Project Budget;
   (3) Project Narrative;
   (4) Optional Cap Breaker Narrative and Budget Information; and
   (5) Attachments to the Project Narrative.

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

In this section, applicants must provide a comprehensive project plan to cover 3.5 years of grant activity based on the criteria outlined below, but only the first 18 months of the project will be funded with Fiscal Year 2016 funds and the FY 2016 grant award will carry with it an 18 month period of performance. Applicants should therefore submit a SF-424, SF-424A, and Budget Narrative for both the base award funding and Cap Breaker funding (if applicable) for planned grant activities for the 18 month period of performance only. Should Congress appropriate additional funds for this purpose in FY 2017 and 2018, we may consider up to two additional rounds of continuation awards under this solicitation. Applicants will be required to submit a new SF-424, SF-424A, and Budget Narrative for grant activities to be undertaken with FY 2017 and FY 2018 funding, if available.

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

- You must complete the SF-424, "Application for Federal Assistance" (available at http://apply07.grants.gov/apply/forms/sample/SF424_2_1-V2.1.pdf .

- 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 http://apply07.grants.gov/apply/forms/sample/SF424B-V1.1.pdf). You do not need to submit the SF-424B with the application.

- **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: http://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 from you unless the entity has provided its DUNS number to you.
    - Grant recipients may not make a subaward to an entity unless the entity has provided its DUNS number to you.

  (See, Appendix A to 2 CFR section 25.)

- **Requirement for Registration with SAM**

  Applicants must register with the System for Award Management (SAM) before submitting an application. Find instructions for registering with SAM can 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: http://apply07.grants.gov/apply/forms/sample/SF424A-V1.0.pdf).   In preparing the Budget Information Form, you must provide a concise narrative explanation to support the budget request, explained in detail below.

Budget Narrative: The budget narrative must provide a description of costs associated with each line item on the SF-424A. It should also include a description of leveraged resources provided (as applicable) to support grant activities.

Use the following guidance for preparing the budget narrative:

> **Personnel:** – List all staff positions by title (both current and proposed). Give the annual salary of each position, the percentage of each position's time devoted to the project, the amount of each position's salary funded by the grant, and the total personnel cost for the period of performance.

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

> **Travel:** Specify the purpose, mileage, per diem, estimated number of in-State and out-of-State trips, and other costs for each type of travel.

> **Equipment:** Identify each item of equipment you expect to purchase which has an estimated acquisition cost of $5,000 or more per unit (or if your capitalization level is less than $5,000, use your capitalization level) and a useful

lifetime of more than one year (see 2 CFR 200.33 for the definition of Equipment). List the quantity and 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 quantity and unit cost per item. Supplies include all tangible personal property other than "equipment" (see 2 CFR 200.94 for the definition of Supplies).

Contractual: Identify each proposed contract and specify its purpose and estimated cost. If applicable, identify any subrecipient agreements, including purpose and estimated costs. See Section VI.B.2.f. for more information on the distinction between contractor and subrecipient.

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: List each item in sufficient detail for us to determine whether the costs are reasonable or allowable. List any item, such as stipends or incentives, not covered elsewhere here.

Indirect Costs: If you include indirect costs in the budget, then include either
a) the approved indirect cost rate with a copy of the Negotiated Indirect Cost Rate Agreement (NICRA), a description of the base used to calculate indirect costs along with the amount of the base, and the total indirect costs requested,

or

b) if you meet the requirements to use the 10% de minimis rate as described in 2 CFR 200.414(f), then include a description of the modified total direct costs base (see 2 CFR 200.68 for definition) used in the calculation along with the amount of the base, and the total indirect costs requested based on the 10% de minimis rate. 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: http://www.dol.gov/oasam/boc/dcd/index.htm.

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

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

(3) Project Narrative

Preparing the 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 25 double-spaced single-sided 8.5 x 11 inch pages with Times New Roman 12 point text font and 1 inch margins. You must number the Project Narrative beginning with page number 1.

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

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

> ### (i) Statement of Need
> - Describe in both quantitative and qualitative terms, the need for ApprenticeshipUSA State Expansion Grant funding, including the nature and scope, and the consequences of not addressing those workforce needs
> - Identify and describe the State's projected high growth industries and occupations targeted for expanding Registered Apprenticeship employment and training opportunities.

- Describe how apprenticeship expansion planning aligns with the State's WIOA State Plan, economic development strategy, and State post-secondary credential attainment goals (See Appendix B).
- Describe potential business and industry opportunities to expand the Registered Apprenticeship model.

(ii) Expected Outcomes and Outputs

In this section, applicants must describe the overall goals, as well as the outcomes and outputs, that they expect this project to achieve. Outcomes and outputs must be an outgrowth of the strategic approach described in the Project Design section below. Grantees will be expected to share this data at the individual record level.

a. **PROJECT GOALS, MILESTONES, OUTPUTS, AND OUTCOMES**

Applicants must propose the following in table format: Project goals, milestones, outputs, and outcomes, which are defined as follows:
- **Project goals** are the overarching achievements that you will pursue.
- **Milestones** are key markers of grant progress – which may be expressed in the form of an action or event marking a significant change or stage in development**.**
- **Outputs** measure production resulting from grant activities, such as the number of apprentices registered and number of new programs developed.
- **Outcomes** focus on the desired result – examples could include apprenticeship penetration in a   new occupation, increase in apprenticeships in certain occupations, benefits to employers, increase in employment retention, median earnings, acquisition of an industry recognized credential, or a measurable change in a social indicator (e.g. increased diversity in apprenticeship programs).

The performance table should clearly identify the overall goals, milestones, outputs and outcome(s) that will result from your Statewide project.

Applicants should also describe their proposed short, intermediate, and long term milestones, outputs, and outcomes within the table that captures the targets and results of both capacity building and apprenticeship employment/training activities.

Note: *For your convenience we have developed a suggested Performance Table that can be used in response to this section. (See Appendix D). The performance table will not count against the 25 page limit of the Project Narrative.*

b. **DATA ELEMENTS AND TARGETS**

Applicants also must provide baseline data as well as annual growth goals for each of the following metrics:

- Total number of new businesses engaged.
- Total number of new Registered Apprenticeship programs in the State.
- Total number of existing Registered Apprenticeship programs expanded (e.g., adding occupations or increasing the number of apprentices registered).
- Total number of participants receiving services under this grant (could include pre-apprentices and those receiving other types of work readiness training).
- Total number of Registered Apprentices in the State. Targets must describe a minimum of 5% growth or an increase of 100 Registered Apprentices over the initial baseline (whichever is greater) in the first 18 month period of performance, an additional 10% or an increase of 200 Registered Apprentices over the initial baseline (whichever is greater) in the second 18 month period of performance, and an additional 10% or an increase of 200 Registered Apprentices over the initial baseline (whichever is greater) in the third 18-month period of performance, for a total of approximately 25% growth or at least an increase of 500 Registered Apprentices (whichever is greater) in apprenticeship over three and a half years.
- Number and percentage of women served in Registered Apprenticeship.
- Number and percentage of underrepresented populations served in Registered Apprenticeship.
- Number and percentage of youth (16-24 year-olds) served in Registered Apprenticeship.
- Percentage of apprentices served who complete their Registered Apprenticeship program (Statewide Completion Rate).

To demonstrate stronger integration with the State Workforce System, States must also provide current data and describe annual growth goals for Registered Apprenticeship for each of the following metrics:

- Percentage of Registered Apprentices receiving any services under titles I-IV of WIOA relative to all registered apprentices Statewide
- Total number of Registered Apprentices receiving any services under titles I-IV of WIOA.

- Total number of Sponsors receiving support from the public workforce system with screening, referrals, assessments and other services that support the Registered Apprenticeship program
- Total number of Sponsors receiving WIOA-funded support for their apprentices (e.g., supportive services, classroom training, OJT)

(iii) Project Design

Applicants must present a comprehensive and feasible approach to innovate and expand Registered Apprenticeship at the State level. The plan should be consistent with and lead to the identified goals, milestones, outputs, and outcomes described above, and include a timeline consistent with the life of the grant for completion of work (also see Appendices D and E). To that end, applicants must address the following:

Governor-Supported ApprenticeshipUSA State Expansion Strategy:
- Governors or other chief elected officials must provide a leadership commitment letter demonstrating the State's commitment to this effort.
- Include the State's overall Registered Apprenticeship expansion strategy to grow the number of apprentices in the State by at least 5% or an increase of 100 Registered Apprentices over the initial baseline (whichever is greater) during the 18 month period of performance.
- Describe how the Governor or chief elected official plans to support the expansion of quality and innovative ApprenticeshipUSA training programs that are aligned with the State's WIOA State Plan.
- Describe how the Governor or chief elected official plans to support the expansion of quality and innovative ApprenticeshipUSA training programs that are aligned with State's sector strategies and growth occupations and industries.

Build State Capacity to Support Apprenticeship Expansion:
- Describe the State's current status of and plan to improve Registered Apprenticeship capacity, infrastructure, and expert support to aid apprenticeship expansion and transformation in the State.
- Describe the State's approach to developing additional capacity and capability in areas such as: 1) core functions including promotion (such as outreach to businesses and to underrepresented populations), registration, oversight, technical assistance and support for potential and existing Sponsors; 2) training and support for front-line staff that promotes both innovation and quality in Registered Apprenticeship; 3) training and support for State Apprenticeship Councils to engage them in the State's plans for Registered Apprenticeship expansion and innovation and 4) engaging industry to develop multi-employer programs and program templates.

State Alignment of Registered Apprenticeships with Workforce, Education and Economic Development Strategies:

- Describe the State's strategy to align the Registered Apprenticeship system with the:
    - o Workforce Development System and the key State partners (e.g., State Workforce Development Boards/State Workforce Agencies; and State Apprenticeship Agencies) necessary to drive Registered Apprenticeship expansion and innovation including the role of Governor's office or the equivalent chief elected official (see Appendix B for some suggested alignment and capacity building strategies);
    - o Educational institutions, training providers, and other partners currently engaged in building career pathways (i.e., adult education agencies, Career and Technical Education (CTE) agencies, vocational rehabilitation agencies, State workforce education coordinating boards, and/or other Post-Secondary education agencies); and
    - o Other components of the talent development system such as the economic development system.
- Describe how the State's strategy will bring these partners and State components together to create an integrated Statewide Registered Apprenticeship system, including each partner's proposed role. To further document this commitment and these roles, letters of commitment from partners should be provided.

Supporting Employer Demand Through Strong Engagement with Industry and Workforce Intermediaries:

Industry and Workforce intermediary, for the purposes of Registered Apprenticeship expansion, is defined as an entity which serves as a conduit between employers, as well as other industry partners, and DOL to accelerate apprenticeship program development and help broker sector-based apprenticeship partnerships at the State and regional level. Industry and workforce intermediaries are uniquely positioned to convene employers and other key partners to determine workforce trends, and can assist in 1) defining Registered Apprenticeship program goals; 2) informing program design; 3) identifying necessary skills, competencies, and credentials; 4) identifying career pathways; 5) providing assistance with program implementation; and 6) helping to solicit on-going employer feedback on the skills and competencies of workers completing Registered Apprenticeship training. Industry and Workforce intermediaries may specialize in a specific sector or possess expertise to partner with entities that cut across more than one market. Specifically:

- Applicants should describe, and provide evidence of, the commitment from and roles of industry and workforce leaders including industry and

workforce intermediaries such as Chambers of Commerce, workforce organizations, labor organizations, industry associations, among others, who are committed to ApprenticeshipUSA expansion. To document this commitment, applicants should include a discussion in the project narrative and letters of support that provide a description of the specific role(s) that the organization will play and how their roles support the goals towards Apprenticeship Expansion, and their commitment to the State's ApprenticeshipUSA strategies.

- Describe a feasible strategy for how grant funds will be used to conduct outreach with additional industry and workforce intermediaries.
- Describe how the State will incorporate the use of sector strategies to accelerate the development of Registered Apprenticeship opportunities across the State.
- Describe other demand-side strategies to recruit additional employers, in a variety of sectors such as IT, HealthCare, Advanced Manufacturing, Construction, Cybersecurity, Business Services, among others, identified by the State.
- Describe the State's leadership role in convening industry partners to work with DOL or federally-recognized SAAs to register new apprenticeship programs and hire apprentices.

Increased Participation in Apprenticeship of Traditionally Underrepresented Populations through Innovative Equity and Inclusion/Diversification Strategies:
- Describe how the State will support inclusion and diversity in Registered Apprenticeship by expanding access to low-income and underrepresented populations, including use of the pre-apprenticeship-to-apprenticeship pathway model that aligns with TEN 13-12[16], and leveraging supports that can facilitate persistence and success among those facing barriers to participation and success.
- Describe strategies to address the inclusion of women in apprenticeship, including strategies for moving women into non-traditional jobs.
- Describe how the State will leverage and align resources to provide adequate supportive services appropriate to the targeted populations to ensure completion of the apprenticeship and long-term-success.
- Describe a strategy for training and educating American Job Center (AJC) staff, apprenticeship program staff, and partners on why diversity is important, how to break down occupational segregation, and otherwise how to diversify apprenticeships.

State Investment and Leveraged Resources Supporting Registered Apprenticeship Expansion:
- Identify and describe the leveraged resources for Apprenticeship expansion that the applicant plans to use and demonstrate the likely

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[16] TEN 13-12 can be found at https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5842.

availability and usefulness of resources to carry out the State's project. Specifically, identify and discuss:

- State resources that will be used to support expansion activities, and explain how they will not supplant existing State funding streams currently supporting Registered Apprenticeship, including SAAs.

- Leveraged resources from the private and non-profit sectors that will support expansion activities.

- Leveraged resources from federally supported programs, such as:

  - Programs directly supporting Registered Apprenticeship activities, such as programs funded and supported by WIOA.
  - Educational institutions and training providers (i.e., adult education agencies, Career and Technical Education agencies, vocational rehabilitation agencies, State workforce education coordinating boards, and/or other postsecondary or secondary education agencies).
  - Any other Federal funds that the State will use to support Registered Apprentices and/or the businesses that employ them.

Statewide Promotion and Outreach:
- Describe how grant funding will be used to promote and brand apprenticeship within the State and to align with ongoing national branding efforts under ApprenticeshipUSA (e.g. Apprenticeship Delmarva is part of the ApprenticeshipUSA network). Also include how the State plans to increase awareness of the value and benefits of Registered Apprenticeship for employers and workers, as well as educators through increased education, marketing, and outreach.
- Describe how grant funds will be used to engage and convene meetings with industry and workforce intermediaries, including labor unions, labor-management organizations, industry associations, community-based organizations, non-profit organizations, as well as trade or industry associations such as local Chambers of Commerce, small business federations, and labor-management organizations to discuss key industry and business needs and ways States can help address those needs through ApprenticeshipUSA.

Apprenticeship Data Collection, Reporting and Regulatory Modernization:
Many States provide data to DOL on demographics, program sponsors, new

programs, and progress of apprentices in aggregate form. In order to build a more comprehensive picture of Registered Apprenticeship activity across the country, States will be expected to now share this data at the individual record level.

- Describe how the State will share data with DOL to ensure data collection and reporting of data across systems such as Registered Apprenticeship, Workforce and Education programs (including individual record level data on Registered Apprentices).
- Provide affirmation that the State will work with DOL to provide input to DOL's customized Registered Apprenticeship Participant Information Data System (RAPIDS), which will be accessible to all States to ensure compatibility with State systems of data collection.

Efforts to Promote Quality Registered Apprenticeship Programs:
ApprenticeshipUSA funding will support the development of apprenticeship programs that meet national standards for registration with the DOL (or federally recognized SAAs). In addition, DOL seeks to promote the expansion of Registered Apprenticeship programs that exemplify high standards, instructional rigor, inclusion and diversity, and quality training which lead to solid careers and have strong employment outcomes for apprentices such as high completion and retention rates, as well as strong earning potential. The message to prospective employees, customers and suppliers is that employers and sponsors in the ApprenticeshipUSA network invest in their workforce and represent training excellence. Efforts to promote quality should not be used to create artificial barriers to entry for new apprenticeship programs nor should it stifle innovative apprenticeship programs that meet the requirements for registration with USDOL or federally recognized SAAs.

- Describe the State's plan to provide technical assistance services to ramp up State apprenticeship expansion strategies while ensuring quality programs, and the State's readiness to provide technical assistance to promote excellence and innovation in Registered Apprenticeship.
- Describe how the State will identify innovative approaches that promote excellence in apprenticeship by engaging employers and industry and workforce intermediaries.

Plan for Continuation Funding:
- Describe the need for continuation funding and additional proposed activities and/or projects (contingent upon future appropriations) that will lead to the greater of approximately 25% growth of Registered Apprenticeship or an increase of 500 Registered Apprentices over the initial baseline over three and a half years (i.e., 5% or an increase of 100 Registered Apprentices (whichever is greater) in the first 18 month period of performance, 10% or an increase of 200 Registered Apprentices

(whichever is greater) in the second 18 month period of performance, and 10% or an increase of 200 Registered Apprentices (whichever is greater) in the third 18 month period of performance), at minimum.

- Describe how the State will institutionalize these activities and/or projects into their overall state workforce, education and economic development plans over the next three and a half years.
- Describe the sustainability planning that the State will complete to develop a strategy for the institutionalization of these activities over the next three and a half years.

(iv) Organizational**,** Administrative, and Fiscal Capacity

Applicants should:

- Submit an organizational chart describing the composition of the applicant's organization.
- Provide an overall staffing plan that describes the professional experience and qualifications that will be required of the project manager, executive and administrative staff, as well as other personnel such as advisors and consultants to fulfill the needs and requirements of the proposed project, including the ability to manage a strategic partnership, fiscal and administrative management, outreach and promotion, and other key areas of the project management. If the project manager or other key personnel are already on staff, applicants do not need to provide names. Titles and qualifications are sufficient.
- Describe administrative controls and systems to properly manage, monitor and report Federal funds and performance. Describe how the proposed project will use accounting and performance systems and processes that enable timely and accurate financial and performance reporting, and allow for expeditious procurement procedures that comply with Federal, State (if applicable), and other relevant laws and requirements, including across partners, as applicable.
- Describe how the applicant will facilitate communications among all levels of the project across partners identified in the application.

(v) Budget and Budget Justification

Please see Section IV.B.2. for information on requirements related to the budget and budget justification. Applicants must provide the following for the 18 month period of performance:

- SF-424A Budget Information Form: The form must outline costs associated with each line item, and must reflect the full amount of the base funding request.
- Budget Narrative: The narrative provides a description of costs associated with each line item on the SF-424A Budget Information Form.   Cost descriptions must itemize the component parts of each line item, and

explanations must support the reasonableness of these costs to carry out proposed activities.

- Leveraged Costs: Leveraged costs must be itemized and described in the Budget Narrative; however, these costs should not be included on the SF-424A Budget Information Form

(4) Optional: Cap Breaker Narrative and Budget Information

States may apply for additional funds under this FOA as described in Section II.A. (Award Type and Amount) ("Cap Breaker Funding") by proposing a specialized pilot project under one <u>or</u> both of the following options:

- Option 1: Innovations to Expand Access to Underrepresented Populations

- Option 2: Innovations to Increase Industry Demand for Registered Apprenticeship

Applicants wishing to receive Cap Breaker Funding must submit a separate project narrative and budget information (SF 424, 424A, and Budget Narrative) for each option. For details on funding levels, see *Section II: Award Information* of this FOA. The Cap Breaker Narrative for each Cap Breaker Option listed above must demonstrate the capability to implement the grant project in accordance with the provisions of this FOA. The project narrative must provide a description of all aspects of the proposed project and is limited to <u>5 double-spaced</u> (per Cap Breaker) single-sided 8.5 x 11 inch pages with Times New Roman 12 point text font and 1 inch margins. This will not count towards the 25 page limit for the base grant. You must number the Cap Breaker narrative beginning with page number 1. In the event that an applicant receiving a base award does not receive this Cap Breaker bonus funding, the applicant will still be expected to carry-out the other components of the base award as described in the Project Narrative.

<u>Option 1: Innovations to Expand Access to Underrepresented Populations</u>

More emphasis needs to be given to promote and provide Apprenticeship opportunities to low-income individuals and underrepresented populations. Efforts are needed to increase Registered Apprenticeship for low-income individuals and underrepresented populations in apprenticeship such as youth, women, communities of color, Native Americans, individuals who are limited English proficient, foreign-trained immigrants, and persons with disabilities. Applicants seeking to obtain Cap Breaker Funding for Option 1 must respond to the following criteria:

- Describe the State's pilot project to increase opportunities and new career pathways to low-income individuals and underserved populations in apprenticeship such as youth, women, communities of color, Native Americans, individuals who are limited English proficient, foreign-trained immigrants, and persons with disabilities, among others. All applications should specifically address the needs of women, either as a whole, or in the context of other populations (e.g., women of color, women with disabilities, etc.).

- Describe whether the strategies will be implemented Statewide or targeted to specific local areas within the State, and whether the strategies will be targeted to specific industries or across all industries.
- Identify proposed diversity partner(s), with a particular focus on industry and workforce intermediaries with experience serving targeted populations, such as community-based organizations, and their capacity and expertise in reaching and recruiting diverse populations.
- Describe how pilot strategies will overcome barriers and increase opportunities for low-income individuals and underrepresented populations to access Registered Apprenticeship as a pathway into skilled occupations and industries. For example:
  - o Outreach and recruitment plans to ensure low-income and underrepresented populations have access to apprenticeship opportunities.
  - o Access to quality pre-apprenticeships and other models that serve as on-ramps to Apprenticeship opportunities.
  - o Training and educating American Job Center (AJC) staff, apprenticeship program staff, and partners on why diversification is important, how to break down occupational segregation, how to move women into non-traditional jobs, and otherwise how to diversify apprenticeships.
- Describe strategies that support individuals in the retention and completion of their Registered Apprenticeship training. For example:
  - o How supportive services will be provided to ensure retention in and completion of training for workers served through the project, including identifying the specific service providers or specifying a plan to procure specific types of services.
  - o Diversity and Equal Employment Opportunity (EEO) training to ensure supportive work environments for underrepresented workers to persist in their Registered Apprenticeship program.
  - o Other innovative retention and completion strategies such as effective mentorship matching, frequent monitoring, pre-testing for required skills, etc.
- Provide a performance plan to analyze and assess data to help ensure continuous improvement throughout the grant period project.
- Describe the costs associated with each line item on the SF-424A and explain how the budget is reasonable to carry out proposed activities during the 18 month period of performance.
- Describe the need for continuation funding and additional proposed activities and/or projects (contingent upon future appropriations) that will lead to further access to Registered Apprenticeship for low-income individuals and underrepresented populations over the next three and a half years.

Option 2: Innovations to Increase Industry Demand for Apprenticeship

Registered Apprenticeships have a significant return for employers – 95% of employers participating in apprenticeships testify to this return.[17] However, expanding apprenticeship to new industries and scaling existing models requires innovative ideas such as leveraging the expertise of industry and workforce intermediary partners and providing incentives to drive employer demand. Applicants seeking Cap Breaker Funding for Option 2 must respond to the following criteria:

- Describe the innovation pilot that would incentivize and increase employer demand for ApprenticeshipUSA with the goal of increasing the number of Registered Apprentices in the State by more than the required growth goals in for the base proposal. Each innovation pilot must include a plan to implement/expand/leverage a State policy and identify industry and workforce intermediaries to accelerate industry adoption of Registered Apprenticeship.
- Describe the State's capabilities to conduct outreach to employers and industry organizations (such as consortia of businesses, labor-management organizations, industry associations), to ensure the pilot has considerable reach and scale within the target industry/ies.
- Identify industry partner(s) which will join in this pilot program and their capacity and expertise in serving as a conduit between employers and other industry partners to accelerate apprenticeship program development and help broker sector-based apprenticeship partnerships at the State and regional level.
- Describe plans to provide customized services, and/or seed funding to grow the demand for new apprenticeship programs.
- Describe specialized supports to create modern Registered Apprenticeship opportunities that meet the needs of today's employers (e.g., flexible and/or accelerated learning approaches such as, adapting time-based models of training to a competency-based apprenticeship programs).
- Describe both how the project will be assessed quantitatively and qualitatively to determine progress and success, and approaches to adapt efforts in response to evidence that they are not achieving the anticipated results.
- The extent to which the applicant describes costs associated with each line item on the SF-424A and explains how the budget is reasonable to carry out proposed activities during the 18 month period of performance.
- Describe the need for continuation funding and additional proposed activities and/or projects (contingent upon future appropriations) that will lead to additional enhancements to increase the industry demand for Registered Apprenticeship over the next three and a half years.

(5) Attachments to the Project Narrative

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

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[17] The Benefits and Challenges of Registered Apprenticeship: The Sponsors' Perspective. by Karin Martinson, Robert Lerman, Lauren Eyster, Kate Chambers (2009).

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

Required Attachments
Applicants are required to submit the following attachments. If these attachments are not included the application will be deemed non-responsive and will not be scored. None of these Required Attachments will count against the 25-page limit for the Project Narrative.

    a. **Abstract**

Applicants must submit a 2-page abstract summarizing the proposed project. When submitting in grants.gov, this document must be uploaded as an attachment to the application package and specifically labeled "Abstract." A template is provided below:

The proposed project abstract must include the following.
1. Expansion Grant Project Name (to be used for the life of the grant)
2. Applicant Organization:
    - Provide State agency name, full address, website (if applicable)
3. Applicant Primary Contact:
    - Primary contact name, his/her position title, business phone, and business email
4. Summary of Program Activities, including Cap Breaker activities (if applicable) (350 word maximum)
5. Areas Served by the Expansion Grant:
    - City
    - County
    - State
6. Key Outcomes
7. Number of Apprentices to be Served
8. Target populations
9. Target Industries
10. Key Partner(s):
    - Provide complete contact information for each partner including; partner name, the contact person's name, and his/her position title, business address, phone, and business email.
11. Funding Level:
    - Base
    - Equity Cap Breaker (if applicable)

- Industry Cap Breaker (if applicable)

b. **Cap Breaker and Budget Information (if applicable):** A Cap Breaker project narrative and budget information must be attached (if applying for additional funds for Industry and/or Equity projects). See Section IV.B.4 for details.

Requested Attachments

We request the following attachments, but their omission will not cause us to screen out the application. Furthermore, if the omission of the attachment will impact scoring, the description of the attachment will note such an impact. None of these Requested Attachments will count against the 25 page limit for the Project Narrative.

a. *Governor's (or chief elected official's) letter of support* for the project and designation of the lead fiscal State entity for the project. **Note:** *for State's with federally recognized SAA agencies only, the letter should outline a commitment to include the SAA as a required partner.*

b. **Organizational Chart:** The omission of this attachment will impact the applicant's score. Section IV.B.3 of the FOA requests that applicants to describe their Administrative, Organizational, and Fiscal Capacity. Applicants should submit an organizational chart. The applicant should clearly identify all relevant leadership, program, administrative, and advisory roles.

c. **Work Plan and Performance Tables**: The omission of this attachment will impact the applicant's score. See Appendix C and D: Suggested Project Work Plan Format (Appendix C) and Suggested Performance Table (Appendix D).

d. **Indirect Cost Rate Agreement:** If applicant is requesting indirect costs based on a Negotiated Indirect Cost Rate Agreement approved by a 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.

e. **Partner *and* Industry Leader Commitment Letters:** The omission of this attachment will impact the applicant's score. Applicants may provide documentation of the commitments of the required public and private sector partners. To the extent that commitment letters are provided, they should:

   o Be on the organization's letterhead
   o Provide partner contact information (name, position title, business phone, and business email).
   o Signed by an authorized representative of the organization, such as the CEO, Director, President, or other official;
   o Describe how the partner is involved in the project and the role that it will play throughout implementation;

o Identify whether this entity will receive a sub-award from the funds provided to support their work;

o Identify resources being provided by the organization to support the project (i.e. financial or in-kind contributions).

NOTE: *Industry leaders include but are not limited to workforce organizations, State Chambers of Commerce, Employer CEO's, labor organizations, and regional or national industry and workforce intermediaries who are committed to ApprenticeshipUSA expansion.*

C. Submission Date, Times, Process and Addresses

We will accept applications under this Announcement until September 5, 2016, 75 days after the date of publication on Grants.gov]. You must submit your application either electronically on http://www.grants.gov or in hard copy by mail or in hard copy by hand delivery (including overnight delivery) no later than 4:00:00 p.m. Eastern Time on the closing date.

Applicants are encouraged to submit their application before the closing date to ensure that the risk of late receipt of the application is minimized. We will not accept applications sent by e-mail, telegram, or facsimile (FAX).

Applicants submitting applications in hard copy by mail or overnight delivery must submit a ''copy-ready'' version free of bindings, staples or protruding tabs to ease in the reproduction of the application by DOL. Applicants submitting applications in hard copy must also include in the hard copy submission an identical electronic copy of the application on compact disc (CD). If we identify discrepancies between the hard copy submission and CD copy, we will consider the application on the CD as the official submission for evaluation purposes. Failure to provide identical applications in hardcopy and CD format may have an impact on the overall evaluation.

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

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

Address mailed applications to the
U.S. Department of Labor
Employment and Training Administration
Office of Grants Management
Attention: Lynn Fraga, Grant Officer
Reference FOA-ETA-16-13

200 Constitution Avenue, NW, Room N4716
Washington, DC 20210

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

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

We describe the submission and validation process in more detail below. 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. Rather, grants.gov only verifies the submission of certain parts of an application.

- We strongly recommend that before you begin to write the application, you immediately initiate and complete the "Get Registered" registration steps at http://www.grants.gov/web/grants/register.html .

You should read through the registration process carefully before registering. These steps may take as much 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. The site also contains the Step-By-Step Guide to Organization Registration to help applicants walk through the process.

- We strongly recommend that you download the Guide at http://www.grants.gov/documents/19/18243/GrantsgovOrganizationRegistrationGuide.pdf/be70525d-59aa-45ee-b196-5e8951faca0a and 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.

As described earlier in Section IV.B.1., you must have a DUNS Number and you must register with SAM.gov before submitting an application.
The next step in the registration process is creating a username and password with Grants.gov to become an Authorized Organizational Representative (AOR). AORs will need to know the DUNS Number of the organization for which they will be submitting applications to complete this process.

- To read more detailed instructions for creating a profile on Grants.gov visit: **http://www.grants.gov/web/grants/applicants/organization-registration/step-3-username-password.html**

After creating a profile on Grants.gov, the E-Biz point of Contact (E-Biz POC) - a representative from your organization who is the contact listed for SAM – will receive an email to grant the AOR permission to submit applications on behalf of their organization. The E-Biz POC will then log in to Grants.gov and approve an individual as the AOR, thereby giving him or her permission to submit applications.

>To learn more about AOR Authorization visit:
>**http://www.grants.gov/web/grants/applicants/organization-registration/step-4-aor-authorization.html**

>**or to track AOR status visit:**
>http://www.grants.gov/web/grants/applicants/organization-registration/step-5-track-aor-status.html

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 POC approval, establishes an AOR. When an application is submitted through Grants.gov, the name of the AOR on file will be inserted into the signature line of the application. You must register the individual who is able to make legally binding commitments for your organization as the AOR; this step is often missed and it is crucial for valid submissions.

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. Within two business days of application submission, Grants.gov will send the applicant two email messages to provide the status of the application's progress through the system.
-   The first email, sent almost immediately, 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 sole 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 (two business days) 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 http://www.grants.gov/web/grants/applicants/applicant-faqs.html .

We encourage new prospective applicants to view the online tutorial, "Applying for ETA Competitive Grants: A Web-Based Toolkit for Prospective Applicants 101: A Plain English Guide to ETA Competitive Grants," available through Workforce GPS at: https://strategies.workforcegps.org/resources/2014/08/11/16/32/applying-for-eta-competitive-grants-a-web-based-toolkit-for-prospective-applicants-438

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 http://www.grants.gov/web/grants/manage-subscriptions.html .

If you encounter a problem with Grants.gov and do not find an answer in any of the other resources,
- call 1-800-518-4726 or 606-545-5035 to speak to a Customer Support Representative or
- email support@grants.gov .

The Grants.gov Contact Center is open 24 hours a day, seven days a week. However, it is closed on Federal holidays.

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

We will not consider any hard copy application received after the exact date and time specified for receipt at the office designated in this notice, unless we receive it before awards are made, it was properly addressed, and it was: (a) sent by U.S. Postal Service mail, postmarked no later than the fifth calendar day before the date specified for receipt of applications (e.g., an application required to be received by the 20th of the month must be postmarked by the 15th of that month); or (b) sent by professional overnight delivery service to the addressee not later than one working day before the date specified for receipt of applications. ''Postmarked'' means a printed, stamped or otherwise placed impression (exclusive of a postage meter machine impression) that is readily identifiable, without further action, as having been supplied or affixed on the date of mailing by an employee of the U.S. Postal Service. Therefore, you should request the postal clerk to place a legible hand cancellation ''bull's eye'' postmark on both the receipt and the package. Failure to adhere to these instructions will be a basis for a determination that the application was not filed timely and will not be considered. Evidence of timely submission by a professional overnight delivery service must be demonstrated by equally reliable evidence created by the delivery service provider indicating the time and place of receipt.

D.   INTERGOVERNMENTAL REVIEW

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

E.   FUNDING RESTRICTIONS

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

1.   Indirect Costs

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

Option 1: You may use a NICRA or Cost Allocation Plan (CAP) supplied by the Federal Cognizant Agency. If you do not have a NICRA/CAP or have a pending NICRA/CAP, and in either case choose to include estimated indirect costs in your budget, at the time of award the Grant Officer will release funds in the amount of 10% of salaries and wages to support indirect costs. Within 90 days of award, you are required to submit an acceptable indirect cost proposal or CAP to your Federal Cognizant Agency to obtain a provisional indirect cost rate. (See Section IV.B.**5**. for more information on NICRA submission requirements.)

Option 2: Any organization that has never received a negotiated indirect cost rate, with the exceptions noted at 2 CFR 200.414(f) in the Cost Principles, may elect to charge a de minimis rate of 10% of modified total direct costs (see 2 CFR 200.68 for definition) which may be used indefinitely. If you choose this option, this methodology must be used consistently for all Federal awards until such time as you choose to negotiate for an indirect cost rate, which you may apply to do at any time. (See 2 CFR 200.414(f) for more information on use of the de minimis rate.)

2.   Salary and Bonus Limitations

None of the funds appropriated under the heading "Employment and Training" in the appropriation statute(s) may be used by a recipient or subrecipient of such funds to pay the salary and bonuses of an individual, either as direct costs or indirect costs, at a rate in excess of Executive Level II. This limitation does not apply to contractors providing goods and services as defined in the Audit Requirements of the OMB Uniform Guidance (see 2 CFR 200 Subpart F). Where States are recipients of such funds, States may establish a lower limit for

salaries and bonuses of those receiving salaries and bonuses from subrecipients of such funds, taking into account factors including the relative cost-of-living in the State, the compensation levels for comparable State or local government employees, and the size of the organizations that administer Federal programs involved including Employment and Training Administration programs. See Public Law 113-235, Division G, Title I, section 105, and Training and Employment Guidance Letter number 05-06 for further clarification: **http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2262**.

3.	**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 **http://creativecommons.org/licenses/by/4.0** .

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

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

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

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

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

If applicable, the following needs to be on all products developed in whole or in part with grant funds:

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

4.   Use of Grant Funds for Participant Wages

Expansion Grant funds are prohibited from directly paying participant wages.

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.   SCORING 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).* and IV.B.4 (Cap Breaker Narrative). This section is broken into two separate parts – the Base Award Scoring Criteria and the Cap Breaker Scoring Criteria.

For both the base award and Cap Breaker awards each Applicant will be scored against only those applicants in their Category, which were described in Section II.A. For example, all Category 1 States (regardless of whether they are an OA State or SAA State) will be scored together. ***Reviewers will award points based on the evaluation criteria described below:***

(1) Base Award Scoring Criteria

Criterion	Points (maximum)
1. Statement of Need (See Section IV.B.3.i Statement of Need)	12
2. Expected Outcomes, and Outputs (See Section IV.B.3.ii Expected Outcomes and Outputs)	12
3. Project Design (See Section IV.B.3.iii Project Design)	59
4. Organizational, Administrative, and Fiscal Capacity (See Section IV.B.3.iv) Organizational, Administrative, and Fiscal Capacity)	12
5. Budget and Budget Justification (See Section IV.B.2. Project Budget)	5
TOTAL	**100**

1. *Statement of Need (up to 12 points)*

   Points will be awarded based on:
   - The extent to which the applicant fully describes, in both quantitative and qualitative terms, the need for Expansion Grant funding including, the nature and scope, and the consequences of not addressing those workforce needs. (3 points)
   - The extent to which the applicant identifies and describes the State's projected high growth industries and occupations targeted for expanding Registered Apprenticeship employment and training opportunities. (3 points)
   - The extent to which the applicant describes how apprenticeship expansion planning aligns with the State's WIOA State Plan, economic development strategy, and State post-secondary credential attainment goals. (3 points)
   - The extent to which the applicant describes the potential business and industry opportunities to expand the Registered Apprenticeship model. (3 points)

2. *Expected Outcomes and Outputs (up to 12 points)*

   Points will be awarded based on:
   - The extent to which the applicant clearly identifies the overall goals, milestones, outputs and outcome(s) that will result from its State-wide project. (3 points)
   - The extent to which the applicant provides baseline data as well as annual growth goals for each of the following metrics: (4 points)
     o Total number of new businesses engaged.
     o Total number of new Registered Apprenticeship programs in the State.
     o Total number of existing Registered Apprenticeship programs expanded (e.g., adding occupations or increasing the number of apprentices registered).
     o Total number of participants receiving services under this grant (could include pre-apprentices and those receiving other types of work readiness training).

- Total number of Registered Apprentices in the State (targets must describe at least 5% growth or an increase of 100 Registered Apprentices (whichever is greater) over the initial baseline in the first 18 month period of performance, an additional 10% or an increase of 200 Registered Apprentices (whichever is greater) over the initial baseline in the second 18 month period of performance, and an additional 10% or an increase of 200 Registered Apprentices (whichever is greater) over the initial baseline in the third 18 month period of performance.
- Number and percentage of women served in Registered Apprenticeship.
- Number and percentage of underrepresented populations served in Registered Apprenticeship.
- Number and percentage of youth (16-24 year olds) served in Registered Apprenticeship.
- Percentage of apprentices served who complete their Registered Apprenticeship program (Statewide Completion Rate).

- The extent to which the applicant provides baseline information and describes annual growth goals for Registered Apprenticeship for each of the following metrics. (5 points)
  - Percentage of Registered Apprentices receiving any services under titles I-IV of WIOA relative to all registered apprentices Statewide
  - Total number of Registered Apprentices receiving any services under titles I-IV of WIOA
  - Total number of Sponsors receiving support from the public workforce system with screening, referrals, assessments and other services that support the Registered Apprenticeship program
  - Total number of Sponsors receiving WIOA-funded support for their apprentices (e.g., supportive services, classroom training, OJT)

3. *Project Design (up to 59 points)*
   Applicants must present a comprehensive and feasible approach to innovate and expand Registered Apprenticeship at a Statewide level. The plan should be consistent with the identified goals, milestones, outputs, and outcomes described above, and include a timeline consistent with the life of the grant for completion of work.

   Points will be awarded based on:

   GOVERNOR-SUPPORTED APPRENTICESHIPUSA STATE EXPANSION STRATEGY:
   (5 Points)
   - The extent to which the Governor or chief elected official provided a leadership commitment letter demonstrating the State's commitment to this effort. (1 point)
   - The extent to which the applicant describes its key overall Registered Apprenticeship expansion strategy to grow the number of apprentices in the State by at least 5% or an increase of 100 Registered Apprentices over the initial baseline (whichever is greater) during the 18 month period of performance. (2 points)

- The extent to which the applicant describes how the Governor or chief elected official plans to support the expansion of quality and innovative ApprenticeshipUSA training programs that are aligned with the State's WIOA State Plan. (1 point)
- The extent to which the applicant describes how the Governor or chief elected official plans to support the expansion of quality and innovative ApprenticeshipUSA training programs that are aligned with State's sector strategies and growth occupations and industries. (1 point)

BUILD STATE CAPACITY TO SUPPORT APPRENTICESHIP EXPANSION: (7 Points)
- The extent to which the applicant describes the current status of and plan to improve Registered Apprenticeship capacity, infrastructure, and expert support to aid apprenticeship expansion and transformation in the State. (4 points)
- The extent to which the applicant describes the State's approach to developing additional capacity and capability in areas such as:
    1) core functions including promotion, registration, oversight, technical assistance and support for potential and existing sponsors;
    2) training and support for front-line staff that promotes both innovation and quality in Registered Apprenticeship; and
    3) training and support for State Apprenticeship Councils to engage them in the State's plans for Registered Apprenticeship expansion and innovation; and
    4) engaging industry to develop multi-employer programs and program templates.
    (3 points)

STATE ALIGNMENT OF REGISTERED APPRENTICESHIPS, WORKFORCE, EDUCATION AND ECONOMIC DEVELOPMENT STRATEGIES: (8 POINTS)
- The extent to which the applicant describes the strategy to align the Registered Apprenticeship system with:
    o The Workforce Development System and the key State partners (e.g., State Workforce Development Boards/State Workforce Agencies; and State Apprenticeship Agencies) necessary to drive Registered Apprenticeship expansion and innovation including the role of Governor's office or the equivalent chief elected official. (2 points)
    o Educational institutions, training providers, and other partners currently engaged in building career pathways (i.e., adult education agencies, CTE agencies, vocational rehabilitation agencies, State workforce education coordinating boards, and/or other postsecondary and secondary education agencies). (2 points)
    o Other components of the talent development system such as the economic development system. (2 points)
- The extent to which the applicant describes a feasible strategy to bring these partners and State components together to create an integrated Statewide Registered Apprenticeship system, including the partner's proposed role. To further

document this commitment and these roles, letters of commitment should be provided. (2 points)

SUPPORTING EMPLOYER DEMAND THROUGH STRONG ENGAGEMENT WITH INDUSTRY AND WORKFORCE INTERMEDIARIES: (8 POINTS)

- The extent to which applicants describe, and provide evidence of, the commitment from and roles for industry and workforce leaders including industry and workforce intermediaries such as Chambers of Commerce, industry associations, workforce organizations, labor organizations, among others who are committed to ApprenticeshipUSA expansion. To document this commitment, applicants should include a discussion in the project narrative and letters of support that provide a description of the specific role(s) that the organization will play and how their roles support the goals towards Apprenticeship Expansion, and their commitment to the State's ApprenticeshipUSA strategies. (3 points)
- The extent to which applicants describe a feasible strategy for how grant funds will be used to conduct outreach with additional industry and workforce intermediaries. (1 point)
- The extent to which the applicant describes how the State will incorporate the use of sector strategies to accelerate the development of Registered Apprenticeship opportunities across the State. (1 point)
- The extent to which the applicant describes other feasible demand-side strategies to recruit additional employers, in a variety of sectors such as IT, HealthCare, Advanced Manufacturing, Construction, Cybersecurity, Business Services, among others identified by the State. (1 point)
- The extent to which the applicant describes the State's leadership role in convening industry partners to work with DOL (or federally-recognized SAAs) to register new apprenticeship programs and hire apprentices. (2 points)

INCREASED PARTICIPATION IN APPRENTICESHIP OF TRADITIONALLY UNDERREPRESENTED POPULATIONS THROUGH INNOVATIVE EQUITY AND INCLUSION/DIVERSIFICATION STRATEGIES: (10 POINTS)

- The extent to which the applicant describes a feasible strategy for how the State will support inclusion and diversity in Registered Apprenticeship, including but not limited to expanding access to low-income and underrepresented populations, including use of the pre-apprenticeship-to-apprenticeship pathway model that aligns with TEN 13-12, and leveraging supports that can facilitate persistence and success among those facing barriers to participation and success (3 points)
- The extent to which the applicant addresses the inclusion of women in apprenticeship, including strategies for moving women into non-traditional jobs. (3 points)
- The extent to which the applicant leverages and aligns resources to provide adequate supportive services appropriate to the targeted populations to ensure completion of the apprenticeship and long term-success. (2 points)

- The extent to which the applicant describes a feasible strategy for training and educating AJC staff, apprenticeship program staff, and partners on why diversity is important including how to break down occupational segregation and otherwise how to diversify apprenticeships. (2 points)

STATE INVESTMENT AND LEVERAGED RESOURCES SUPPORTING REGISTERED APPRENTICESHIP EXPANSION: (5 POINTS)
- The extent to which the applicant identifies and describes the leveraged resources for Apprenticeship expansion that the applicant plans to use and demonstrates the likely availability and usefulness of resources to carry out the State's project. Specifically, the extent to which the applicant identifies and discusses:
   o State resources that will be used to support expansion activities, and explain how they will not supplant existing State funding streams currently supporting Registered Apprenticeship, including SAAs. (1 point)
   o Leveraged resources from the private and non-profit sectors that will support expansion activities. (2 points)
   o Leveraged resources from federally supported programs, such as (2 points):
      ▪ Programs directly supporting Registered Apprenticeship activities, such as programs funded and supported by WIOA.
      ▪ Educational institutions and training providers (i.e., adult education agencies, career and technical education agencies, vocational rehabilitation agencies, State workforce education coordinating boards, and/or other postsecondary or secondary education agencies).
      ▪ Any other Federal funds that the State will use to support Registered Apprentices and/or businesses that employ them.

STATEWIDE PROMOTION AND OUTREACH: (3 POINTS)
- The extent to which the applicant describes a feasible strategy for how grant funding will be used to promote and brand apprenticeship within the State and to align with ongoing national branding efforts under ApprenticeshipUSA, and how the State plans to increase awareness of the value and benefits Apprenticeship for employers and workers, as well as educators through increased education, marketing, and outreach. (2 points)
- The extent to which the applicant describes how grant funding will be used to engage and convene meetings with industry and workforce intermediaries, including labor unions, labor-management organizations, industry associations, community-based organizations, non-profit organizations, as well as trade or industry associations such as local Chambers of Commerce, small business federations, and labor-management organizations to discuss key industry and business needs and ways States can help address those needs through ApprenticeshipUSA. (1 point)

APPRENTICESHIP DATA COLLECTION, REPORTING, AND REGULATORY MODERNIZATION: (3 POINTS)

- The extent to which the applicant describes how it will share data with DOL to ensure data collection and reporting of data across systems such as Registered Apprenticeship, Workforce and Education programs (including individual record level data on Registered Apprentices). (2 point)
- The extent to which the State affirms that it will work with DOL to provide input to DOL's customized RAPIDS system to ensure compatibility with State systems of data collection. (1 point)

EFFORTS TO PROMOTE QUALITY REGISTERED APPRENTICSESHIP PROGRAMS: (5 POINTS)
- The extent to which the applicant describes a feasible plan to provide technical assistance services to ramp up State apprenticeship expansion strategies while ensuring quality programs. The applicant should also describe the State's readiness to provide technical assistance to promote excellence and innovation in Registered Apprenticeship. (2 points)
- The extent to which the applicant identifies innovative approaches that promote excellence in apprenticeship by engaging employers and industry and workforce intermediaries. (3 points)

PLANS FOR CONTINUATION FUNDING: (5 POINTS)
- Describe the need for continuation funding and additional proposed activities and/or projects (contingent upon future appropriations) that will lead to the greater of approximately 25% growth of Registered Apprenticeship or an increase of 500 Registered Apprentices over the initial baseline over three and a half years (i.e., 5% or an increase of 100 Registered Apprentices (whichever is greater) in the first 18 month period of performance, 10% or an increase of 200 Registered Apprentices (whichever is greater) in the second 18 month period of performance, and 10% or an increase of 200 Registered Apprentices (whichever is greater) in the third 18 month period of performance), at minimum. (2 points)
- Describe how the State will institutionalize these activities and/or projects into their overall state workforce, education and economic development plans over the next three and a half years. (2 points)
- Describe the sustainability planning that the State will complete to develop a strategy for the institutionalization of these activities over the next three and a half years. (1 point)

4. **Organizational, Administrative, and Fiscal Capacity** *(up to 12 points)*
    Points will be awarded based on:
    - The extent to which the applicant submitted an organizational chart fully describing the composition of the applicants' organization and the extent to which the organizational structure will support the applicant's plan. (2 points)
    - The extent to which the applicant has an overall staffing plan that describes the professional experience and qualifications that will be required of the project manager, executive and administrative staff, as well as other personnel such as

advisors and consultants to fulfill the needs and requirements of the proposed project, including the ability to manage a strategic partnership, fiscal and administrative management, outreach and promotion, and other key areas of the project management. If the project manager or other key personnel are already on staff, applicants do not need to provide names. Titles and qualifications are sufficient. (4 points)

- The extent to which the applicant describes its administrative controls and systems to properly manage, monitor and report Federal funds and performance and describes how the proposed project will use accounting and performance systems and processes that enable timely and accurate financial and performance reporting, and allows for expeditious procurement procedures that comply with Federal, State (if applicable), and other relevant laws and requirements, including across partners, as applicable. (4 points)
- The extent to which the applicant describes how communications will be facilitated among all levels of the project across partners identified in the application. (2 points)

5.   **Budget and Budget Justification (up to *5* points*)***
- The extent to which the applicant provided a budget narrative sufficient to justify effective use of the entire amount of the award (18 month period of performance), including costs associated with each line item on the SF-424A and a full explanation of how the budget is reasonable to carry out proposed activities; and (3 points)
- The extent to which the applicant fully describes costs which will be paid by the grant and those that will be covered by leveraged resources. (2 points)

(2) OPTIONAL - CAP BREAKER AND BUDGET INFORMATION SCORING CRITERIA

Option 1:

Innovation Pilots to Expand Access to Underrepresented Populations

Criterion – Option 1	Points (maximum)
Innovation Pilots to Expand Access to Underrepresented Populations	*25*
TOTAL	*25*

1. *Innovation Pilots to Expand Access to Underrepresented Populations (UP TO 25 POINTS)*

Cap Breaker Points for this Option will be awarded based on the extent to which the applicant effectively:

- *Describes the State's pilot project to increase opportunities and new career pathways to low-income individuals and underserved populations in apprenticeship such as youth, women, communities of color, Native Americans, individuals who are limited English proficient, foreign-trained immigrants, and persons with disabilities, among others. All applications should specifically address the needs of women, either as a whole, or in the context of other populations (e.g., women of color, women with disabilities, etc.). (7 points)*
- *Describes whether the strategies will be implemented Statewide or targeted to specific local areas within the State, and whether the strategies will be targeted to specific industries or across all industries. (2 points)*
- *Identifies proposed diversity partner(s), with a particular focus on industry and workforce intermediaries with experience serving targeted populations such as community-based organizations, and their capacity and expertise in reaching, and recruiting diverse populations. (3 points)*
- *Describes how pilot strategies will overcome barriers and increase opportunities for low-income individuals and underrepresented populations to access Registered Apprenticeship as a pathway into skilled occupations and industries. (5 points). For example:*
    - *Outreach and recruitment plans to ensure underrepresented populations have access to apprenticeship opportunities.*
    - *Access to quality pre-apprenticeships and other models that serve as on-ramps to Apprenticeship opportunities.*
    - *Training and educating American Job Center (AJC) staff, apprenticeship program staff, and partners on why diversification is important, how to break down occupational segregation, how to move women into non-traditional jobs, and otherwise how to diversify apprenticeships.*
- *Describes strategies that support individuals in the retention and completion of their Registered Apprenticeship training. (5 points). For example:*
    - *How supportive services will be provided to ensure retention in and completion of training for workers served through the project, including identifying the specific service providers or specifying a plan to procure specific types of services.*
    - *Diversity and Equal Employment Opportunity (EEO) training to ensure supportive work environments for underrepresented workers to persist in their Registered Apprenticeship program.*
    - *Other innovative retention and completion strategies such as effective mentorship matching, frequent monitoring, pre-testing for required skills, etc.*
- *Provides a performance plan to analyze and assess data to help ensure continuous improvement throughout the grant period project. (1 point)*
- *The extent to which the applicant describes costs associated with each line item on the SF-424A and explains how the budget is reasonable to carry out proposed activities during the 18 month period of performance. (1 point)*
- *Describe the need for continuation funding and additional proposed activities and/or projects (contingent upon future appropriations) that will lead to further access to*

Registered Apprenticeship for low-income and underrepresented populations over the next three and a half years. (1 point)

Option 2:
Innovation Pilots to Increase Industry Demand For Apprenticeship

Criterion – Option 2	Points (maximum)
Innovation Pilots to Increase Industry Demand For Apprenticeship	25
TOTAL	**25**

2. Innovation Pilots to Increase Industry Demand For Apprenticeship (UP TO 25 POINTS)

Cap Breaker Points for this Option will be awarded based on the extent to which each applicant effectively:

- *Describes the innovation pilot that would incentivize and increase employer demand for ApprenticeshipUSA with the goal of increasing the number of Registered Apprentices in the State by more than the required growth goals in for the base proposal. Each innovation pilot must include a plan to implement/expand/leverage a State policy and identify industry and workforce intermediaries to accelerate industry adoption of Registered Apprenticeship. (10 points)*
- *Describes the State's capabilities to conduct outreach to employers and industry organizations (such as consortia of businesses, labor-management organizations, industry associations), to ensure the pilot has considerable reach and scale within the target industry/ies. (3 points)*
- *Identifies industry partner(s) which will join in this pilot program and their capacity and expertise in serving as a conduit between employers and other industry partners to accelerate apprenticeship program development and help broker sector-based apprenticeship partnerships at the State and regional level. (3 points)*
- *Describes plans to provide customized services, and/or seed funding to grow the demand for new apprenticeship programs. (3 points)*
- *Describes specialized supports to create modern Registered Apprenticeship opportunities that meet the needs of today's employers (e.g., flexible and/or accelerated learning approaches such as, adapting time-based models of training to a competency-based apprenticeship programs). (3 points)*
- *Describes both how the project will be assessed quantitatively and qualitatively to determine progress and success, and approaches to adapt efforts in response to evidence that they are not achieving the anticipated results. (1 point)*
- *The extent to which the applicant describes costs associated with each line item on the SF-424A and explains how the budget is reasonable to carry out proposed activities during the 18 month period of performance. (1 point)*

- *Describe the need for continuation funding and additional proposed activities and/or projects (contingent upon future appropriations) that will lead to additional enhancements to increase the industry demand for Registered Apprenticeship over the next three and a half years. (1 point)*

B.   REVIEW AND SELECTION PROCESS

1.   *Merit Review and Selection Process*

A technical merit review panel will carefully evaluate applications against the relevant selection criteria to determine the merit of applications. These criteria are based on the policy goals, priorities, and emphases set forth in this FOA. Applications for the Cap Breaker awards will be reviewed by a separate panel. Up to 100 points may be awarded to an applicant for their base award proposal, depending on the quality of the responses provided; and up to 25 points may be awarded to an applicant for each Cap Breaker proposal, depending on the quality of the responses provided. The final scores (which may include the mathematical normalization of review panels) will serve as the primary basis for selection of applications for funding. The panel results are advisory in nature and not binding on the Grant Officer. The Grant Officer reserves the right to make selections based solely on the final scores or to take into consideration other relevant factors when applicable. Such factors may include the geographic distribution of funds and/or other relevant factors. The Grant Officer may consider any information that comes to his/her attention.

The government may elect to award the grant(s) with or without discussions with the applicant. Should a grant be awarded without discussions, the award will be based on the applicant's signature on the SF-424, including electronic signature via E-Authentication on **http://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 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 by DOL at 29 CFR Part 98 [Government-wide Debarment and Suspension (Non-procurement)]. This risk evaluation may incorporate results of the evaluation of the applicant's eligibility (application screening) or the quality of its application (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:

    (1) Financial stability;

    (2) Quality of management systems and ability to meet the management standards prescribed in the Uniform Grant Guidance;

    (3) History of performance. The applicant's record in managing awards, cooperative agreements, or procurement awards, if it is a prior recipient of such Federal awards, including timeliness of compliance with applicable reporting requirements and, if

applicable, the extent to which any previously awarded amounts will be expended prior to future awards;

(4) 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;

(5) The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on recipients.

VI. *AWARD ADMINISTRATION INFORMATION*

A. AWARD NOTICES

All award notifications will be posted on the ETA Homepage (***http://www.doleta.gov***). 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 to not 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, 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:

   a. Non-Profit Organizations, Educational Institutions, For-profit entities and State, Local and Indian Tribal Governments – 2 CFR Part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards) and 2 CFR 2900 (DOL's Supplement to 2 CFR Part 200)

   b. 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)), 29 CFR Part 98 (Governmentwide Debarment and Suspension, and drug-free workplace requirements), and, where applicable, 2 CFR Part 200 (Audit Requirements).

   c. 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.

   d. 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.

e. 29 CFR Part 32—Nondiscrimination on the Basis of Handicap in Programs or Activities Receiving Federal Financial Assistance.

f. 29 CFR Part 35— Nondiscrimination on the Basis of Age in Programs or Activities Receiving Federal Financial Assistance from the Department of Labor.

g. 29 CFR Part 36—Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance.

h. 29 CFR Part 38 – Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Innovation and Opportunity Act.

i. 29 CFR Parts 29 and 30—Labor Standards for the Registration of Apprenticeship Programs, and Equal Employment Opportunity in Apprenticeship and Training, as applicable.

j. General Terms and Conditions of Award—See the following link: **http://www.doleta.gov/grants/pdf/2015template.pdf**.

2. **Other Legal Requirements:**

a) Religious Activities

The Department notes that the Religious Freedom Restoration Act (RFRA), 42 U.S.C. Section 2000bb, applies to all Federal law and its implementation. If an applicant organization is a faith-based organization that makes hiring decisions on the basis of religious belief, it may be entitled to receive Federal financial assistance under this grant solicitation and maintain that hiring practice. If a faith-based organization is awarded a grant, the organization will be provided with more information.

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

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

c) Transparency Act Requirements

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

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

- Upon award, you will receive detailed information on the reporting requirements of the Transparency Act, as described in 2 CFR Part 170, Appendix A, which can be found at the following website: **http://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:

(1) Federal awards to individuals who apply for or receive Federal awards as natural persons (i.e., unrelated to any business or non-profit organization he or she may own or operate in his or her name);

(2) Federal awards to entities that had a gross income, from all sources, of less than $300,000 in the entities' previous tax year; and

(3) 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 NO. 39-11 (issued June 28, 2012). All such activity conducted by ETA and/or recipient/s will be performed in a manner consistent with applicable *State* and Federal laws.

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

1. You must ensure that PII and sensitive data developed, obtained, or otherwise associated with DOL/ETA funded grants is securely transmitted.

2. 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.

3. 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.

4. 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.

5. 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.

6. 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.

7. 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.

8. You must not extract information from data supplied by ETA for any purpose not stated in the grant agreement.

9. 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.

10. 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 only be accessed from secure locations.

11. 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.

12. 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.

13. 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 you to maintain all records pertaining to grant activities for a period of at least three years from the date of submission of the final expenditure report. See 2 CFR 200.333-.337 for more specific information, including information about the start of the record retention period for awards that are renewed quarterly or annually, and when the records must be retained for more than three years.

f) Use of Contracts and Subawards

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

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

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

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

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

You must follow the provisions at 2 CFR 200.330-.332 regarding subrecipient monitoring and management. Also see 2 CFR 200.308(c)(6) regarding prior approval requirements for subawards. When awarding subawards, you are required to comply with provisions on government wide suspension and debarment found at 2 CFR Part 180 and codified by DOL at 29 CFR Part 98.

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 http://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 receiving an ApprenticeshipUSA Expansion Grant award, grantees are required to participate in a national evaluation. The national evaluation may include an implementation assessment across grantees as well as an impact and/or outcomes analysis of all or selected sites within or across grantees. Conducting an impact analysis could involve 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. The Department may require applicants to collect data elements to aid the ApprenticeshipUSA evaluation, assess the Return on Investment to employers, and assess the overall project impact. As a part of the national evaluation, grantees must agree to: (1) make records on participants, employers, and funding available; (2) provide access to program operating personnel, participants and operational and financial records and any other pertaining documents to calculate program costs and benefits; and (3) facilitate the assignment by lottery of participants to

program services (including the possible increased recruitment of potential participants) and follow evaluation procedures as specified by the national evaluator under the direction of DOL including after the grant period of performance.

Additionally, grantees must ensure compliance with the Family Educational Rights and Privacy Act (FERPA) (20 U.S.C. § 1232G; 34 CFR Part 99). The grantees must establish policies for compliance, including policies for accessing student education records when connected with audit or evaluation of Federal or State programs and enforcement of or compliance with Federal legal requirements of those programs, standard practices or agreements for disclosing PII through written agreements, and other PII and records management practices.

In addition to any required national evaluation, a select number of grantees may be asked to volunteer to participate in a pilot project of a particular recruitment and/or retention strategy that could be used with the ApprenticeshipUSA program. The demonstration may focus on testing the following non-exhaustive list of topics: improving or refining existing recruitment techniques; expanding recruitment efforts by testing new modes of recruitment; better targeting recruitment for specific populations; and offering new services or enhancing existing services that could improve the retention of targeted populations.

We may require that the program or project participate in an evaluation of overall performance of ETA grants and require the cooperation of the recipient as a condition of award.

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.   STATE DATA COLLECTION AND REPORTING

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

1. **Apprenticeship Record Level Data**

Applicants must agree to meet DOL reporting requirements and provide individual record-level data (on program sponsors and apprentices) that would be made available for evaluation and national reporting purposes. Applicants must affirm that they will report as required by the Department once guidance is released, and that performance reporting has been taken into account in staffing and budgeting plans. If known, applicants must identify a person/position for data coordination and describe the any experience with performance tracking systems.

Applicants will continue to collect Registered Apprenticeship data elements related to Registered Apprenticeship programs and Registered Apprentices and submit to USDOL. Currently many States provide data to DOL on demographics, program sponsors, new programs, and progress of apprentices in aggregate form. In order to build a more comprehensive picture of Registered Apprenticeship activity across the country, States will be expected to now share this data at the individual record level. DOL and the State may enter into Memorandums of Understanding to ensure data sharing processes are documented and protected.

SAA States must submit quarterly updates on the progress of implementing the regulations in 29 CFR § 29 and funds may be used to accelerate their plans to come into compliance with these regulations. States must complete the process for compliance within the period of performance of these funds.

NOTE: The submission of individual record level data is particularly critical for 17 SAAs who do not use the Department's apprenticeship reporting system (RAPIDS).   An individual record format will be developed by the Department to ensure consistency in reporting across States.

2. **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.

3. **Quarterly Performance Reports**
You must submit a quarterly progress report within 45 days after the end of each calendar year quarter. The report must include quarterly information on grant activities, performance goals, and milestones. The last quarterly progress report will serve as the grant's Final Performance Report. This report must provide both quarterly and cumulative information on the grant activities. It must summarize project activities, employment outcomes and other

deliverables, and related results of the project, and must thoroughly document the training or labor market information approaches that you used. We will provide you with formal guidance about the data and other information that is required to be collected and reported on either a regular basis or special request basis.

4. **Apprenticeship Job Bank**

You must participate in DOL's Apprenticeship job openings database that will be accessible to the public. This will help launch a national campaign to advertise apprenticeship opportunities to a wider audience and help facilitate the matching of willing workers with apprenticeship sponsors.

5. **National Media Campaigns**

You must participate in National Media Campaigns initiated by the DOL by providing success stories, photos, testimonials, to promote and advance the ApprenticeshipUSA State Expansion Grants.

VII. AGENCY CONTACTS

For further information about this FOA, please contact Andrea Hill, Grants Management Specialist, Office of Grants Management, at (202) 693-3542. Applicants should e-mail all technical questions to hill.andrea@dol.gov and must specifically reference FOA-ETA-16-13, and along with question(s), include a contact name, fax and phone number. This Announcement is available on the ETA Web site at *http://www.doleta.gov/grants* and at *http://www.grants.gov* .

VIII. OTHER *INFORMATION*

A. TRANSPARENCY

DOL is committed to conducting a transparent grant award process and publicizing information about program outcomes. Posting grant applications on public websites is a means of promoting and sharing innovative ideas. For all applications in this grant competition, we will publish the Abstracts required by Section IV.B.**5**., and selected information from the SF-424 for all applications on the Department's public website or similar publicly accessible location. Additionally, we will publish a version of the Project Narrative required by Section IV.B.3. for all those applications that are awarded grants, on the Department's website or a similar location. We will publish no other attachments to the application. We will not publish the Project Narratives and Abstracts until after we have announced the grant recipients. In addition, information about grant progress and results may also be made publicly available.

DOL recognizes that grant applications sometimes contain information that an applicant may consider proprietary or business confidential information, or may contain personally identifiable information (PII). Proprietary or business confidential information is information that is not usually

disclosed outside your organization and disclosing this information is likely to cause you substantial competitive harm.

PII is any information that can be used to distinguish or trace an individual's identity, such as name, social security number, date and place of birth, mother's maiden name, or biometric records, and any other information that is linked or linkable to an individual, such as medical, educational, financial, and employment information[18].

Abstracts will be published in the form originally submitted, without any redactions. Applicants should not include any proprietary or confidential business information or PII in this summary. In the event that an applicant submits proprietary or confidential business information or PII, DOL is not liable for the posting of this information contained in the Abstract. The submission of the grant application constitutes a waiver of the applicant's objection to the posting of any proprietary or confidential business information contained in the Abstract. Additionally, the applicant is responsible for obtaining all authorizations from relevant parties for publishing all PII contained within the Abstract. In the event the Abstract contains proprietary or confidential business information or PII, the applicant is presumed to have obtained all necessary authorizations to provide this information and may be liable for any improper release of this information.

By submission of this grant application, the applicant agrees to indemnify and hold harmless the United States, the U.S. Department of Labor, its officers, employees, and agents against any liability or for any loss or damages arising from this application. By such submission of this grant application, the applicant further acknowledges having the authority to execute this release of liability.

In order to ensure that proprietary or confidential business information or PII is properly protected from disclosure when DOL posts the winning Project Narratives, applicants whose Project Narratives will be posted will be asked to submit a second redacted version of their Project Narrative, with any proprietary, confidential commercial/business information, and PII redacted. You should remove all non-public information about the applicant's and consortium members' staff (if applicable) as well.

The Department will contact the applicants whose Project Narratives will be published by letter or email, and provide further directions about how and when to submit the redacted version of the Project Narrative.

Submission of a redacted version of the Project Narrative will constitute permission by the applicant for DOL to make the redacted version publicly available. We will also assume that by submitting the redacted version of the Project Narrative, the applicant has obtained the agreement to the applicant's decision about what material to redact of all persons and entities whose proprietary, confidential business information, or PII is contained in the Project Narrative. If an applicant fails to provide a redacted version of the Project Narrative within 45 days of DOL's

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[18] OMB Memorandum 07-16 and 06-19. GAO Report 08-536, *Privacy: Alternatives Exist for Enhancing Protection of Personally Identifiable Information*, May 2008, http://www.gao.gov/new.items/d08536.pdf.

request, DOL will publish the original Project Narrative in full, after redacting only PII. (Note that the original, unredacted version of the Project Narrative will remain part of the complete application package, including an applicant's proprietary and confidential business information and any PII.)

We encourage applicants to maximize the grant application information that will be publicly disclosed, and to exercise restraint and redact only information that clearly is proprietary, confidential commercial/business information, or PII. The redaction of entire pages or sections of the Project Narrative is not appropriate, and will not be allowed, unless the entire portion merits such protection. Should a dispute arise about whether redactions are appropriate, DOL will follow the procedures outlined in the Department's Freedom of Information Act (FOIA) regulations (29 CFR Part 70).

DOL will protect redacted information in grant applications from public disclosure in accordance with Federal law, including the Trade Secrets Act (18 U.S.C. § 1905), FOIA, and the Privacy Act (5 U.S.C. § 552a). 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 29 CFR § 70.26. Consequently, it is possible that application of FOIA rules may result in release of information in response to a FOIA request that an applicant redacted in its "redacted copy."

B.   WEB-BASED RESOURCES

A pre-recorded Prospective Applicant webinar will be available for viewing on July 12, 2016. For further details, please visit our apprenticeship homepage at http://www.dol.gov/apprenticeship.

DOL maintains a number of web-based resources that may be of assistance to applicants. For example, the CareerOneStop portal (***http://www.careeronestop.org***), which provides national and ***State*** career information on occupations; the Occupational Information Network (O*NET) Online (http://online.onetcenter.org) which provides occupational competency profiles; and America's Service Locator (***http://www.servicelocator.org***), which provides a directory of our nation's One-Stop Career Centers.

C.   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 ***http://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.

D. WORKFORCE3ONE RESOURCES

1. We encourage you to view the information gathered through the conference calls with Federal agency partners, industry stakeholders, educators, and local practitioners. The information on resources identified can be found on Workforce3One.org at: **https://www.workforce3one.org/find/?sr=1&ps=20&sort=5** .

2. We encourage you to view the online tutorial, "Grant Applications 101: A Plain English Guide to ETA Competitive Grants," available through Workforce3One at: **http://www.workforce3one.org/page/grants_toolkit**.

3. 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 **http://strategies.workforce3one.org/**.

4. We created a technical assistance portal at https://etareporting.workforce3one.org/page/financial that contains online training and resources for fiscal and administrative issues. Online trainings available include, but are not limited to, Introduction to Grant Applications and Forms, Indirect Costs, Cost Principles, and Accrual Accounting.

IX. *OMB INFORMATION COLLECTION*

OMB Information Collection No 1225-0086, expires May 31, 2019.

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

*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, DC 20210. Comments may also be emailed to **DOL_PRA_PUBLIC@dol.gov** .*

PLEASE DO NOT RETURN YOUR GRANT APPLICATION TO THIS ADDRESS. ONLY SEND 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 _ _ _ _ _ _ _ _ _ _ _ _, in Washington, D.C. by:

Lynn Fraga
Grant Officer, Employment and Training Administration

Appendix A

Elements and Strategies of Innovation to Support Registered Apprenticeship Expansion
ApprenticeshipUSA State Expansion Grant funding will help States to develop and implement comprehensive strategies to support apprenticeship expansion; engage industry and workforce intermediaries, employers, and other partners to expand apprenticeship to new sectors, occupations, and underserved populations; enhance State Capacity to conduct outreach and work with employers to start new programs; and increase and diversify participation in apprenticeship through State innovations, incentives, and system reforms. By launching the ApprenticeshipUSA State Expansion Grants initiative, the Department is helping States to bring together the right partners to strengthen their apprenticeship systems. A number of elements and strategies of innovation are noted below, divided into three key areas. These ideas can become building blocks of innovation woven into a comprehensive strategy to create an ecosystem of actors, strategies, and resources that support significant growth of Apprenticeship opportunities.

INNOVATIONS TO INCREASE THE RETURN ON INVESTMENT IN APPRENTICESHIP

- Develop flexible and/or accelerated learning approaches (including adapting time-based models of training to a competency-based evaluation).
- Focus on upskilling incumbent workers from low-skill or entry-level positions to mid-skill and more advanced positions, thereby helping to create new openings in entry level positions.
- Develop data-driven approaches for measuring return on investment such as the benefits of retaining staff through training and promotional opportunities. The most recent data reveals that the employment retention rate for Registered Apprenticeship is over 88%.[19]
- Reduce startup costs for new employers by building multi-employer platforms (e.g., for recruiting apprentices, developing joint curriculum or marketing, etc.) See UK model below.

INNOVATIONS TO EXPAND ACCESS

- Improve access to tuition assistance for both employers and workers to encourage the use of integrated education and training opportunities for under-represented and low-income populations.
- Pilot greater use of pre-apprenticeship-to-apprenticeship pathway models that use DOL's definition for pre-apprenticeship.[20]
- Develop programs and strategies that support direct entry opportunities into Registered Apprenticeship for low-skill workers, including those that embed remedial education into the course of the apprenticeship, rather than as a pre-apprenticeship requirement. See Georgia example below.
- Provide assistance or funding to sponsors to improve accessibility for qualified applicants and apprentices with disabilities, including by assisting sponsors in implementing effective reasonable accommodations.[21]

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[19] https://www.doleta.gov/performance/results/pdf/DOL_Workforce_Rprt_Sep_2015.pdf#page=20
[20] https://www.doleta.gov/OA/preapprentice.cfm

- Develop and implement research-based marketing and outreach strategies targeted at underrepresented populations.

INNOVATIONS TO CREATE A SUPPORTIVE ECOSYSTEM

- Use public policy, including tax credits, small business grants, utilization requirements or other mechanisms to incentivize and encourage employers to develop and establish Registered Apprenticeship programs. See South Carolina example below.
- Increase State staffing, investment, and capacity to support the expansion of Registered Apprenticeship programs through additional staff positions, expansion of program offices, or increased State investments in the Registered Apprenticeship System. See California model below.
- Use WIOA funds and other State workforce, adult education, and career and technical education   dollars to support the integration of Registered Apprenticeship into State and Local Workforce   Investment strategies to train workers. See Detroit Registered Apprenticeship Program (D-RAP) below.
- Create incentives for community colleges to support the development and provision of apprenticeship training by a) providing college credits for Registered Apprenticeship completion certificates (visit the   RACC website: http://www.doleta.gov/oa/racc.cfm); b) creating financial incentives through   Full Time Equivalents (FTEs) or other mechanisms for community colleges to support apprenticeship;, or c) create capacity within the community college system to support employers in setting up or expanding apprenticeship programs.

INNOVATION MODELS

South Carolina

The State of South Carolina has invested heavily in apprenticeship in the last several years. South Carolina has increased apprenticeships by 650% since 2007 through a $1,000 tax credit for businesses that sponsor apprenticeships and by making it easier for companies to start programs with the technical college system.

In 2007, the State created Apprenticeship Carolina, an office in the South Carolina Technical College System that helps design and implement apprenticeship programs.   The program, which operates under the State Technical College System's Division of Economic Development, started with 90 companies and 777 apprentices. Today, they have helped serve over 11,000 apprentices. South Carolina currently has about 5,800 active apprentices.

South Carolina has been effective in part due to the apprenticeship tax credit, but their secret ingredient is that they have used Apprenticeship Carolina to market apprenticeships and provide technical assistance to companies. Moreover, they are closely aligned to the South Carolina Technical College System that supports the education of apprentices. Apprenticeship Carolina's website touts what it calls "the new evolution of apprenticeship."

Iowa

Iowa has recognized the value of the apprenticeship model as a key strategy to develop the skilled workforce needed for economic growth and prosperity.   As of May 2015, over 700 apprenticeship

programs, involving more than 8,000 apprentices had been registered across the State. Building on these efforts, Iowa enacted the Apprenticeship and Training Act in 2014. Initially proposed by Gov. Terry Branstad in 2014, the act established an apprenticeship program training fund and set annual appropriations at $3 million – tripling the amount of State funding available to support apprenticeship programs. The Iowa Economic Development Authority (IDEA) is responsible for overseeing the funding, in collaboration with Iowa Workforce Development (IWD), and complements other efforts to attract new businesses to the State.

Under the leadership of Iowa's Governor, cabinet agencies work together as a team to provide quality outcomes for Iowa's employers and workers. IWD, Iowa Economic Development Authority (IEDA), and the Iowa Departments of Education, Human Services, and Corrections align their resources and efforts to the benefit of their shared business and job seeker customers. These State agencies are joined by other key Statewide partners – the Iowa Office of Apprenticeship (IOA), Registered Apprenticeship program sponsors (including employers and labor organizations), the community college system, the TAI and other industry associations, Veterans Affairs and others – to promote quality apprenticeship programs for Iowa residents.   Together, they have identified and supported the State's key industry sectors, which include Advanced Manufacturing, Financial Services and Insurance, and Biosciences. Workforce system business representatives also work closely with staff of the IOA to market the apprenticeship model to individual businesses and industry associations within these sectors.

Some hallmarks of the strong partnerships among Statewide partners include the following:

- The State Director of the IOA has served as an ex-officio member of the State Workforce Board for several years.

- The job listings for the public workforce system include apprenticeship opportunities in a variety of occupational areas.

- IWD, in partnership with IEDA and IOA, has established a set of robust online apprenticeship resources on the workforce development website.

Community colleges are typically the lead training partners for apprenticeship programs in Iowa. While labor organizations have in-house apprenticeship training in several skilled trade areas, they may contract with community colleges, as needed, to provide certain portions of the instructional component of the apprenticeship. The Iowa Department of Education is also a partner at the secondary level, promoting career exploration and awareness of apprenticeship opportunities to youth.

A new initiative underway is Elevate Iowa[22] – a Statewide campaign to promote awareness of the vital role that manufacturing plays in the State's economy. The public/private partners and industry trade associations involved in this initiative have attracted discretionary funding to promote career exploration and to provide training scholarships for apprenticeship programs in advanced manufacturing.

An important focus of Iowa's apprenticeship model is active recruitment of veterans and returning service members, through the Home Base Iowa program. IEDA, IWD and IOA partner with Veterans Affairs offices, Vocational Rehabilitation, and other community organizations to recruit veterans into apprenticeship programs. There is also a Statewide direct entry point into apprenticeship through a partnership among Building and Construction Trades, the Joint Apprenticeship Training Council, and Home Base Iowa. Classroom instruction, as well as on-the-job training for qualified veterans and transitioning service members may be funded through the GI Bill. The State apprenticeship program provides credit for relevant military training and experience and Home Base Iowa actively recruits returning service members and veterans to move to Iowa.

Ex-offenders also benefit from Registered Apprenticeship. The IOA is partnering with the Iowa Department of Corrections Statewide to ensure that qualified individuals released from the correctional system have solid technical skills that can support businesses' needs.

There are also several youth programs that promote apprenticeship within the State. In addition to the Elevate Iowa program, a highly-acclaimed Registered Apprenticeship program for young Iowans is the Eastern Iowa Community College Culinary Arts program. The local high school partners with Scott Community College to offer high school-aged youth the opportunity to learn culinary skills and earn credits towards an Associate's degree. Upon graduation from high school, participants may continue in their apprenticeship track and complete their degree. There are currently 80 restaurants in Eastern Iowa participating in this innovative, successful program.

Georgia

In October 2015, the State of Georgia rolled out The Georgia WorkSmart initiative which aims to help companies draft and carry out their own on-the-job training program, including assistance with classroom coursework and apprenticeship curriculum, such as customized apprenticeship and internship programs at firms across the State. Some 30 companies have already signed up to participate in the program, which is underwritten by a roughly $3 million federal grant from the U.S. DOL. "The power of this program comes from creating a pipeline between the private sector and our workforce developers," said Chris Carr, the State's economic development commissioner. European firms that set up operations in Georgia have been among the loudest proponents of the need for the program. Georgia also recently expanded a program that pays full technical school tuition through the HOPE scholarship for students in high-demand fields.

The DOL's blog article on North America's Building Trades Union discusses how in Augusta, Georgia, the local Building Trades Council sought out innovation by training apprenticeship candidates for work at the Plant Vogtle Nuclear Project, starting in 2014. They worked with local Building Trades apprenticeship coordinators, Southern Company, Chicago Bridge and Iron, the Burke County Board of Education, local Workforce Development Boards and Goodwill of Central Georgia. The goal of the program is to train 150 apprenticeship candidates, targeting women, people of color and transitioning veterans, to work at the Plant Vogtle facility and other Building Trades projects in the Augusta area.

The results of the first three graduating classes are astounding and show that 82% of program graduates were persons of color, 41% were female and 11% were transitioning veterans.

California

The California Employment Training Panel (ETP)[23], which supports employer-provided training, has invested more than $35 million in the past four years to train over 21,000 workers under its
ETP is a business and labor-supported State agency that assists employers in strengthening their competitive edge in the economy by providing funds to partially offset the costs of necessary job skills training. California's ETP is a performance-based program, providing funds for trainees who successfully complete training and are retained in good-paying jobs at a required minimum wage, for

at least 90 days. ETP's Apprenticeship Training Pilot Program[24] provides funding through Multiple Employer Contracts, and each Joint Apprenticeship Training Committee (JATC) or other program sponsor must be registered with the California Department of Industrial Relations, Division of Apprenticeship Standards.

ETP's Apprenticeship Training Pilot program, funded by the Employment Training Tax paid by California employers, helps businesses threatened by out-of-State and international competition. The Panel also serves employers under its Special Employment Training Program and funds projects designed to improve skills and employment security of frontline workers in projects that do not meet standard employer/trainee eligibility requirements. Funds help support the classroom and on-the-learning

components of a Registered Apprenticeship. Employers match training funds awarded by ETP, making

these projects true public-private partnerships[25].

Detroit Registered Apprenticeship Program (DRAP)
In Detroit, Michigan, a partnership between Michigan's Workforce Development Agency, the <u>Detroit Registered Apprenticeship Program (D-RAP)</u>, and the DOL was designed to recruit and prepare Detroit residents in pre-apprenticeship programs for high-demand fields, while simultaneously positioning them to move into Registered Apprenticeships with the building trades, CVS, and UAW/Ford, and nearly 40 other sponsors. D-RAP is able to leverage WIOA funding to support Detroit business and pre-apprentices' persistence in apprenticeships by providing screening, employment readiness, and wrap-around services at a low cost to the public. These costs come to about $5,300 covered by the federal and State funds, and $2,000 covered by the sponsor.

One of D-RAP's components, the Detroit Employment Solutions Corporation (DESC), received popular attention from its stakeholders with the <u>announcement</u> of the $5million DOL Grant at the end of June 2015. In an exciting innovation for apprenticeship, the DESC is working with the Michigan Department of Corrections to locate One-Stop Service Centers inside correctional facilities. The overall goal is to assist residents in the facility get the help they need to be ready-to-work before re-entering society.

Oregon
As part of its commitment to increasing diversity in the highway construction workforce, Oregon is building sustainable pathways into construction careers for women and minorities. These efforts, along with the work of community-based organizations such as Oregon Tradeswomen Inc., may explain why, in Oregon, the percentage of women in trade apprenticeships is more than double the national average. Women hold 6.9 percent of all trade apprenticeships in Oregon, compared to 3.2 percent in

the states whose Registered Apprenticeship programs are federally managed.[26] Additionally, while 75

percent of apprenticeship programs in federally managed states have no women enrolled, in Oregon,

that figure is 50 percent.[27]

In 2009, Oregon passed a law requiring that the state Department of Transportation (ODOT) use a portion of its federal funding to increase diversity in the highway construction workforce and prepare

individuals interested in entering the highway construction workforce.[28] The following year, ODOT, together with the state's Bureau of Labor and Industry (BOLI), initiated the Highway Construction

Workforce Development Program (WDP).[29] With a biennial budget of over $2 million,[30] the WDP provides pre-apprenticeship programs; supportive services, including childcare and transportation

subsidies; and mentoring and retention services/training to help apprentices and employers establish

and maintain respectful workplaces.[31]

Already, the WDP is showing signs of success. Between March 2011 and March 2015, the WDP served

736 apprentices; 16 percent were female and 34 percent were minorities.[32] By 2013, women held 11 percent of all apprenticeships in the four trades targeted for services through the WDP (carpenters,

operators, cement masons, and iron workers).[33] In that same year, 48 individuals who completed the WDP pre-apprenticeship program were placed in highway construction apprenticeships; of those

individuals, 29 were female.[34] According to a recent survey of apprentices served by the WDP, 80 percent of female active apprentices reported that the WDP supports allowed them to take a job they

would not otherwise have been able to take.[35] Moreover, completion rates for female former

apprentices who received financial services from the WDP (60.9 percent) were much higher than for

those who did not receive any services (31.5 percent).[36]

United Kingdom

In the "Innovations in Apprenticeship" report released by the Center for American Progress in

September 2014,[37] England was recognized for their recent efforts to expand apprenticeship, which "has led to significant benefits for both workers and employers. English apprenticeship completers earn an average weekly wage 10 % higher than that of non-completers. Businesses report that apprentices have increased productivity; supplied a consistent, skilled labor force; reduced recruiting costs; and boosted employee retention."

The United Kingdom government has created an initiative by the name of Trailblazer and a press release from the Department of Business, Innovation and Skills in March 2015 provided further details:

- The Trailblazer initiative allows groups of employers to join together to design apprenticeships that develop the skills of their current and future workforce. The 26 new Trailblazers will design apprenticeships in 35 occupations while existing Trailblazers have been approved to design an additional 34 apprenticeships
- The UK has had more than 2 million apprentices begin since 2010.
- Continually expanding apprenticeships to various occupations since March 2015 including software developer and mortgage advisor.
- In 2015, more than 50 employer-designed apprenticeships, including Boat builders, Chartered Surveyors, and Outside Broadcast Engineers.

APPENDIX B
Examples of strategic approaches for ApprenticeshipUSA State system alignment and capacity building

1. **Get to know your State Registered Apprenticeship contacts.**

   Every State has apprenticeship representatives available to provide support and technical assistance to the public workforce system on Registered Apprenticeship programs. OA or SAA staff can help develop contacts and may serve as a valuable partner in ApprenticeshipUSA programs. States can invite RA representatives to One-stop centers for a tour to learn about services and partners.
   Eligible Training Provider List: The workforce system will need to work with Registered Apprenticeship staff to collect, update, and share data on current Registered Apprenticeship program sponsors,
   To locate RA contacts in your State, visit www.doleta.gov/oa/contactlist.cfm

2. **Work with Registered Apprenticeship (RA) programs in your State.**

   State Sector Strategies and Career Pathways are a good way to connect Registered Apprenticeship to Workforce Development Board and One-Stop Centers as Registered Apprenticeship is an integral part

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[21] For examples of reasonable accommodations, recipients can contact the Job Accommodation Network (JAN), which is a Department of Labor Office of Disability Employment Policy-funded technical assistance center providing free, expert, and confidential guidance on workplace accommodations for applicants and employees with disabilities and other employment-related issues.

[22] http://www.elevateiowa.com/

[23] Information on recent ETP investments in Apprenticeship can be found at http://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=4&cad=rja&uact=8&ved=0ahUKEwjL6N6rkeTMAhUJ9x4KHbI3DhwQFggxMAM&url=http%3A%2F%2Fwww.labor.ca.gov%2Fpdf%2FETPPressReleaseNovember2015.pdf&usg=AFQjCNE62oJuhJ_Nhm6YrduSTQp9yJIdCg.

[24] The ETP Pilot Summary can be found at https://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&ved=0ahUKEwiGnaORk-TMAhXIJx4KHXDnBvUQFggcMAA&url=https%3A%2F%2Fwww.etp.ca.gov%2Fdocs%2Fpilots%2520and%2520guidelines%2FApprenticeship_Training_Pilot_Summary.pdf&usg=AFQjCNFIZ1A0JDbY-OPYl7Of_-dmmDsRww.

[25] http://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=3&cad=rja&uact=8&ved=0ahUKEwiGnaORk-TMAhXIJx4KHXDnBvUQFggqMAI&url=http%3A%2F%2Fwww.labor.ca.gov%2Fpdf%2FAugust_ETP_Press_Release.pdf&usg=AFQjCNHdWG4d2cc0f5QxVR-hpNAkygu-fg.

[26] http://www.oregonlive.com/business/index.ssf/2015/11/oregon_a_national_leader_in_re.html

[27] http://www.oregonlive.com/business/index.ssf/2015/11/oregon_a_national_leader_in_re.html

[28] http://www.oregonlaws.org/ors/184.866; https://www.oregon.gov/ODOT/CS/CIVILRIGHTS/workforce/ojt/docs/120114_Diversity_in_Hwy_Constr.pdf

[29] For overview and assessment of how the WDP has helped prepare women for careers in construction, see http://www.jff.org/sites/default/files/publications/materials/Untapped-Resources-Untapped-Labor-Pool-121114.pdf

[30] http://www.oregonlive.com/business/index.ssf/2014/12/oregon_efforts_to_prepare_wome.html

[31] https://www.oregon.gov/ODOT/CS/CIVILRIGHTS/docs/wdp/Workforce%20Supportive%20Services%20Brochure%205.7.2015.pdf

[32] https://www.oregon.gov/ODOT/CS/CIVILRIGHTS/docs/wdp/ODOT-BOLI%20WDP%20ppt%20072015%20Final.pdf

[33] http://www.jff.org/sites/default/files/publications/materials/Untapped-Resources-Untapped-Labor-Pool-121114.pdf

[34] http://www.jff.org/sites/default/files/publications/materials/Untapped-Resources-Untapped-Labor-Pool-121114.pdf

[35] https://www.pdx.edu/sociology/sites/www.pdx.edu.sociology/files/Building%20a%20More%20Diverse%20Skilled%20Workforce%20in%20the%20Highway%20Trades%20FINAL%20REPORT.pdf

[36] https://www.pdx.edu/sociology/sites/www.pdx.edu.sociology/files/Building%20a%20More%20Diverse%20Skilled%20Workforce%20in%20the%20Highway%20Trades%20FINAL%20REPORT.pdf

[37] CAP Report: https://cdn.americanprogress.org/wp-content/uploads/2014/09/ApprenticeshipInnov-report1.pdf

of both sector strategies and career pathways. Sector strategies engage employers in related industries or occupations in determining local or regional hiring needs and then designing customized training programs that are responsive to those needs. By aligning with evolving regional economies, these strategies can help provide a network of employment, training, and related services that meet employer needs and build a stronger workforce.

According to a joint letter issued by the Departments of Labor, Education, and Health and Human Services in April 2012, career pathways approaches are defined as "a series of connected education and training strategies and support services that enable individuals to secure industry relevant certification and obtain employment within an occupational area and to advance to higher levels of future education and employment in that area." Registered apprenticeships emphasize a job-driven educational option that allows workers to gain industry-recognized credentials and to move along a determined career path. Registered Apprenticeship takes individuals with no skills to technical competency in a given occupation post-program completion. This provides an important career pathway as a stand-alone program or offers further upward mobility into higher-level careers. For industries involved in sector strategies, this approach offers multiple employers in a given sector opportunities to pool resources to educate and train individuals for in-demand jobs.

3. **Connect with the new apprenticeship representative on your workforce board.**

Under WIOA, RA representatives are members of State and local workforce boards. States can use this opportunity to familiarize RA board members with the goals, priorities, and operations of the workforce system. This will provide State and local workforce boards with the parameters necessary to support State alignment by incorporating ApprenticeshipUSA programs into the suite of training services in the workforce system.

4. **Integrate ApprenticeshipUSA into One-Stop Career Center Operations**
   At the One-Stop Career Center level, a range of programmatic and operational activities can support closely integrated and coordinated functions.
   - **Career Guidance Strategies**. Referral to apprenticeship and pre-apprenticeship programs can be routinely integrated into the career guidance and career exploration services offered through the One-Stop Career Center system, both virtually and as part of staff-assisted services.
   - **Service Delivery Design**. Co-locating ApprenticeshipUSA staff in One-Stop Career Centers allows them to work collaboratively with WIOA case managers and veterans' representatives to place career seekers with apprenticeship sponsors and to market and establish programs. Even when programs are not co-located, One-Stop Career Center and ApprenticeshipUSA staff can be encouraged to work together to market apprenticeship and refer appropriate candidates.
   - **Coordinated Education and Career Outreach**. One-Stop Career Centers can co-sponsor career fairs and other outreach activities related to education and career opportunities with local representatives of the Registered Apprenticeship system, and can market apprenticeship opportunities to both employers and workers.
   - **Coordination for Pre-Apprenticeship.** One-Stop Career Center staff can coordinate the development of pre-apprenticeship or training programs between participating Registered

Apprenticeship programs and community-based organizations committed to provide related work experience to prepare candidates for Registered Apprenticeship.

5. **Educate Business Services and Case Manager staff on Registered Apprenticeship**

Apprenticeship is a perfect fit with the employer-focused, work-based training vision of WIOA. Business representatives can work collaboratively with Registered Apprenticeship professionals in marketing activities to employers to discuss benefits of the workforce system and Registered Apprenticeship. Registered Apprenticeship aligns with any sector strategy and career pathway. The system focuses on employer outreach and service. There are currently 19,000 employers with Registered Apprenticeship programs. With President Obama's goal to double the number of apprentices in five years, employer engagement has ramped up exponentially in the Registered Apprenticeship system. This is an opportunity to expand the business base and offer job seekers more employment prospects.

6. **Use ApprenticeshipUSA as a Business and Industry Engagement Strategy**

Workforce Development Boards and/or One-Stop Career Centers can integrate apprenticeship into business engagement strategies by encouraging the development of new apprenticeship programs as a solution to meet business customer needs. Workforce Development Boards and One-Stops can leverage business relationships and engage businesses jointly with apprenticeship staff. Workforce Development Boards can further enhance strategic regional partnerships by integrating apprenticeship programming into their strategies for talent development and linking apprenticeship programs to other economic development entities and school district administrations, alternative education programs, adult basic education programs, prisons, and city, county, and State governments. An important asset that can be marketed to employers is the ability of apprenticeship staff to develop competency models which break the skills needed for any particular task into learning objects that then become the foundation for classroom curricula and training. This ensures that apprentices achieve the right skills to meet industry needs.

7. **Incorporate ApprenticeshipUSA into WIOA State and Local Strategic Planning**

State and local Workforce Development Boards have an opportunity to support integration of Registered Apprenticeship through their new 2016 WIOA State Plan. WIOA State and Local Strategic Planning. The Department has developed a set of resources in the ApprenticeshipUSA toolkit to help State and Local boards in this process. The Department has developed a set of resources in the ApprenticeshipUSA toolkit to help States in this process.

8. **Develop ApprenticeshipUSA Policies and Funding Strategies**

Collaboration with ApprenticeshipUSA can be further enhanced through the development of policies that facilitate and encourage partnership. For instance, States may issue policy to provide guidance around the operation of such partnerships, and to highlight models of successful collaboration. States and local areas may organize regular roundtables or other policy forums in which workforce system,

apprenticeship system, education, and employer stakeholders are brought together to discuss policy issues and explore collaborative opportunities. State and local workforce system leaders may explore opportunities for leveraging existing workforce system funding with other funding sources to support and advance apprenticeship models.

9. **Collaborate with Educational Institutions and Training Providers**

Collaboration with educational institutions and training providers allows States to create career pathways that encompass ApprenticeshipUSA and align with other post- secondary educational offerings (i.e., adult education agencies, career and technical education agencies, vocational rehabilitation agencies, State workforce education coordinating boards, and/or other post- secondary education agencies). These partnerships provide opportunities for cooperation and co-investment and link apprenticeship to credit and industry-recognized credentials that allow for further advancement (e.g., college credit and/or portable industry-recognized credentials).

10. **Collaborate with other Public and Private Sector Partners**

Building innovative public/private partnerships gives States the ability to create a supportive ecosystem for apprenticeship by leveraging funding and developing policies for sustainably expanding the apprenticeship models after grant funding ends.

These partners may include:
- Businesses);
- Industry and workforce intermediaries ;
- Labor and Labor-Management Organizations;
- Intergovernmental organizations;
- Economic development agencies;
- Foundations and philanthropic organizations;
- Partnering with and leveraging resources from other Federally-funded programs, where allowed by the law that authorizes the grant; such grants may include other DOL grants, Adult Basic Education, Vocational Rehabilitation State Grants, Temporary Assistance for Needy Families, Social Security disability benefits, Small Business Development Centers, federal financial aid such as Pell Grants and Federal Work Study, GI Bill Benefits for veterans, as well as other programs administered by Departments of Education, Health and Human Services, Housing and Urban Development, Commerce, Transportation, Energy, etc.
- Community-based, faith-based, or advocacy organizations with proven capacity to reach and engage individuals from under-served populations (including women, young men and women of color)

11. **Visit the new ApprenticeshipUSA Toolkit and Desk Aids**

The Employment and Training Administration recently launched the ApprenticeshipUSA Toolkit which can be found at: http://www.dol.gov/apprenticeship/toolkit.htm. This online toolkit, designed to

support the public workforce system in developing successful RA strategies, will include a variety of tools, tutorials, fact sheets, and other resources.

The toolkit will add value for workforce systems at all levels of familiarity with RA, as resources will include tools to learn about apprenticeship, build apprenticeship partnerships, implement Registered Apprenticeship strategies and provide examples of successful RA partnership models currently in place in different parts of the country.

The Department of Labor has also produced a toolkit on how to include more women in pre-apprenticeship programs: *Pre-Apprenticeship: Pathways for Women into High-Wage Careers: A Guide for Community-Based Organizations and Workforce Providers*: https://www.doleta.gov/oa/preapp/.

APPENDIX C

Suggested Project Work Plan Format (Excel Spreadsheet is the recommended method of delivery)

***Note: See Section II for Award Information, including contingencies related to continuation awards**

Activity 1	Implementer (s)	Over 18 month period of performance	*Second 18 Month Period of Performance	*Third 18 Month Period of Performance	Start Date	End Date	Milestone
		Strategy Total: Equipment:	Strategy Total: Equipment:	Strategy Total: Equipment:			
Deliverable 1	**Implementer (s)**	**Over 18 month period of performance**	***Second 18 Month Period of Performance**	***Third 18 Month Period of Performance**	**Start Date**	**End Date**	**Milestone**
		Strategy Total: Equipment:	Strategy Total: Equipment:	Strategy Total: Equipment:			

Please Note:
- Applicants may replicate this chart in order to submit information on all activities and deliverables proposed during the period of performance plus any additional activities and/or projects proposed should the applicant receive future continuation funding (see Section II of the FOA for information on continuation awards).
- Applicants should provide the name of the institution engaged in each activity or producing each deliverable, including any partner organizations, if applicable.

APPENDIX D

Suggested Performance Table

*Note: See Section II for Award Information, including contingencies related to continuation awards

	List Project Goals				
	List Metrics				
		Results over 18 month Period of Performance	***Results over Second 18 Month Period of Performance**	***Results over Third 18 Month Period of Performance**	**Total**
1	New Registered Apprentices (whole number)				
2	New Registered Apprentices (percent growth)				
3					
Add more					

Please Note:

- Applicants should provide targets in raw numbers and percentage on separate lines, where appropriate
- Applicants may replicate this chart in order to submit information on all metrics and targets proposed during the period of performance plus any additional activities and additional targets proposed should the applicant receive future continuation funding (see Section II of the FOA for information on continuation awards).
- The figure provided for the total should equal the sum of the projections for each year.

APPENDIX E
<u>Standardized Abstract</u>

The proposed project abstract must include the following.

1. Expansion Grant Project Name (to be used for the life of the grant):
2. Applicant Organization:
   a. Provide State agency name, full address, website (if applicable)
3. Applicant Primary Contact:
   a. Primary contact name, his/her position title, business phone, and business email
4. Summary of Program Activities, including Cap Breaker activities (if applicable) (350 word maximum):
5. Areas Served by the Expansion Grant:
   a. City
   b. County
   c. State
6. Key Outcomes:
7. Number of Apprentices to be Served:
8. Target populations:
9. Target Industries:
10. Key Partner(s):
    a. Provide complete contact information for each partner including; partner name, the contact person's name, and his/her position title, business address, phone, and business email.
11. Funding Level
    - Base
    - Equity Cap Breaker (if applicable)
    - Industry Cap Breaker (if applicable)

Standardized Definitions

Name	USPS
Alaska	AK
Alabama	AL
Arkansas	AR
American Samoa	AS
Arizona	AZ
California	CA
Colorado	CO
Connecticut	CT
District of Columbia	DC
Delaware	DE
Florida	FL
Georgia	GA
Guam	GU
Hawaii	HI
Iowa	IA
Idaho	ID
Illinois	IL
Indiana	IN
Kansas	KS
Kentucky	KY
Louisiana	LA
Massachusetts	MA
Maryland	MD
Maine	ME
Michigan	MI
Minnesota	MN
Missouri	MO
Northern Mariana Islands	MP
Mississippi	MS
Montana	MT
North Carolina	NC
North Dakota	ND
Nebraska	NE
New Hampshire	NH
New Jersey	NJ
New Mexico	NM

Name	USPS
Nevada	NV
New York	NY
Ohio	OH
Oklahoma	OK
Oregon	OR
Pennsylvania	PA
Puerto Rico	PR
Rhode Island	RI
South Carolina	SC
South Dakota	SD
Tennessee	TN
Texas	TX
U.S. Minor Outlying Islands	UM
Utah	UT
Virginia	VA
U.S. Virgin Islands	VI
Vermont	VT
Washington	WA
Wisconsin	WI
West Virginia	WV
Wyoming	WY

Target Populations
Minorities (general)
Women
African-American
Hispanic
Asian & Pacific Islander
Native American
Individuals with Disabilities
Youth
Youth of Color
Opportunity Youth
Foster Youth
Low-Income, Low Skilled populations

Economically Disadvantaged
English Language Learners
Transitioning from Incarceration
Incumbent Workers
Unemployed Workers
Dislocated Workers

Target Industries
Adv. Manufacturing (SEA)
Aerospace
Biotech
Construction (SEA)
Energy/Utilities (SEA)
Engineering
Financial/Insurance/Banking
General - Workforce Development
Government
Healthcare (SEA)
ICT Inf/Comm/Tech (SEA)
Other
Retail/Hospitality/Food&Bev
Security/Protective Services
Social Services
Transportation/Shipping (SEA)

Partnership Entity
Business Association
Community Based Organization
Community College/University
Other Education Provider
Elected Official
Employer
Foundation
Federal Agency
State Agency
City/County Agency
Strategic Initiative
High School
State Apprenticeship
Council/Agency
Research
Union/Labor
Workforce Partner
WIB
Joint labor-management organization/apprenticeship program/training fund
Other

APPENDIX F

ApprenticeshipUSA Tools and Resources

1. ApprenticeshipUSA home page: http://www.dol.gov/apprenticeship

2. National Apprenticeship Week: http://doleta.gov/oa/naw/

3. ApprenticeshipUSA Toolkit: http://www.dol.gov/apprenticeship/toolkit.htm

   a) Download Version:
   http://www.doleta.gov/oa/employers/apprenticeship_toolkit.pdf

4. Federal Resources Playbook http://www.doleta.gov/oa/federalresources/playbook.pdf

5. Pre-Apprenticeship: Pathways for Women into High-Wage Careers: A Guide for Community-Based Organizations and Workforce Providers. https://www.doleta.gov/oa/preapp/

Additional Literature

1. The Aspen Institute; *Apprenticeship: Completion and Cancellation in the Building Trades*; October 2013. http://www.aspeninstitute.org/publications/apprenticeship-completion-cancellation-building-trades

2. Center for American Progress; *Training for Success: A Policy to Expand Apprenticeships in the United States*, December 2013. https://www.americanprogress.org/issues/labor/report/2013/12/02/79991/training-for-success-a-policy-to-expand-apprenticeships-in-the-united-States/

3. Center for American Progress; *Innovations in Apprenticeship: 5 Case Studies That Illustrate the Promise of Apprenticeship in the United States*, September 2014. https://www.americanprogress.org/issues/economy/report/2014/09/25/97772/innovations-in-apprenticeship/

4. Pre-Apprenticeship: Pathways for Women into High-Wage Careers: A Guide for Community-Based Organizations and Workforce Providers: https://www.doleta.gov/oa/preapp/

5. Mathematica Policy Research; *An Effectiveness Assessment and Cost-Benefit Analysis of Registered Apprenticeship in 10 States*, July 2012. https://wdr.doleta.gov/research/FullText_Documents/ETAOP_2012_10.pdf