

U.S. DEPARTMENT OF LABOR

Employment and Training Administration

NOTICE OF AVAILABILITY OF FUNDS AND FUNDING OPPORTUNITY

ANNOUNCEMENT FOR: State Apprenticeship Expansion Formula, Round 3 (SAEF3)

ANNOUNCEMENT TYPE: Initial

FUNDING OPPORTUNITY NUMBER: FOA-ETA-25-31

CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER: 17.285

KEY DATES: *The closing date for receipt of applications under this Announcement is 03/18/2025. We must receive applications no later than **11:59 pm Eastern Time**.*

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

On approximately February 3, 2025, a Frequently Asked Questions (FAQs) page for this Funding Opportunity will be available at <https://www.dol.gov/agencies/eta/grants/apply/find-opportunities>. Please check this link frequently for future updates, as additional FAQs may be added.

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EXECUTIVE SUMMARY

The Employment and Training Administration (ETA), U.S. Department of Labor (DOL, or the Department, or we), announces the availability of approximately \$85,000,000 in grant funds authorized by the Further Consolidated Appropriations Act, 2024, Public Law 118-47, Division D, Title I for Round Three of the State Apprenticeship Expansion Formula (SAEF3).

In this round, the Department plans to distribute funds strategically to support the expansion of the National Apprenticeship System. This funding opportunity supports state-identified innovation, sector strategies, and workforce system alignment by assisting new and emerging industries to establish Registered Apprenticeship Programs (RAPs), thereby contributing to a long-term workforce development strategy that promotes prosperity and sustainability.

Of the \$85 million available, \$50 million will be allocated as Base Formula Funding to states and territories, as defined under 29 CFR 29.2.

Approximately \$35 million will be awarded through Competitive Funding. Up to 10 competitive grants will be issued, with individual grants ranging from \$1 million to \$5 million each. Applicants may choose to apply for only Base Formula Funding or both Base Formula Funding and Competitive Funding.

SAEF3 Base Formula and Competitive funding both have a period of performance (POP) of 36 months. For more information on the grant POP, please see Section II.B. Period of Performance.

The Department’s goals for the SAEF3 Grant program are to:

1. Help states and territories advance the Registered Apprenticeship system as a workforce development strategy and post-secondary education career pathway that maintains the nation’s strong, adaptable, and highly skilled workforce. This includes promoting employment opportunities in quality jobs, which may be characterized by elements such as offering career progression into family sustaining higher wages; benefits that promote economic security and mobility such as health insurance, retirement, workers’ compensation, paid leave and caregiving supports; and opportunities where employers give workers a voice on the job and a free and fair chance to collectively bargain.
2. Support integrated, statewide Registered Apprenticeship strategies and state and territory capacity to engage industry and meet the demand for new programs in both traditional and emerging industries and occupations within the state, such as the education sector, hospitality, care economy (healthcare, childcare, etc.), technology/cybersecurity, public

sector, supply chain sector (logistics; warehouse; transportation; infrastructure; goods movement sectors such as global logistics, rail and other freight-related employment; and manufacturing, including but not limited to the manufacturing of semi-conductors and biomanufacturing), advanced manufacturing (collaborative robotics and additive manufacturing), utilities sector (Water and Wastewater System Operations Specialists and energy occupations), resource management, first responder, disaster resilience, response, and recovery, and other emerging and nontraditional sectors and industries.

3. Allow states and territories to build capacity to significantly increase and facilitate Registered Apprenticeship opportunities from start to completion for all American workers particularly underrepresented populations as established in 29 CFR Part 30, where the population's participation in RAPs is significantly less than would be reasonably expected given the availability of such individuals for apprenticeship in the relevant industry, occupation, or recruitment area, and underserved communities, including veterans, justice-impacted individuals, youth, and those in rural communities.
4. Strengthen the National Apprenticeship System across state lines through the sharing of long-term Registered Apprenticeship strategies, increasing transparency around operational plans, promoting operational consistency among state apprenticeship agencies while allowing for strategic flexibilities that foster innovation within state systems, and enhancing overall transparency among all Registered Apprenticeship stakeholders.

I. FUNDING OPPORTUNITY DESCRIPTION

A. PROGRAM PURPOSE

As part of the third installment of a longer-term strategic investment plan, the Department will award this round of SAEF grants for (1) Base Formula Funding to all States that apply (contingent upon the submission of a responsive application) and (2) an opportunity to apply separately for additional competitive funding for States. States may apply for Base Formula and Competitive Funding grants through separate applications. In alignment with SAEF1 and SAEF2 grants, applicants have two options when applying for this grant program. Provided is a visual to illustrate the possible combination of funds for which applicants can apply:

Options	Actions and Requirements (as applicable)
Option 1: Apply for Base Formula Funding only	States may choose to apply for the Base Formula funding. Additional information about Base Formula funding is provided below.
Option 2: Apply for Base Formula Funding and Competitive Funding through separate applications	<p>States applying for competitive funding must also apply for Base Formula funding. If applicants apply for Competitive Funding without applying for Base Formula Funding, they will be considered nonresponsive to this announcement.</p> <p>If an applicant has already been awarded Competitive Funding under prior SAEF grants (SAEF1 and SAEF2), the applicant is not eligible to apply for Competitive Funding under this announcement.</p> <p>Additional information about Competitive Funding is provided below.</p>

1. Base Formula Funding will support States and territories in building capacity to implement and expand RAPs and pre-apprenticeships leading to RAPs, consistent with the goals established for the SAEF3 program described in the Executive Summary. Additional information about project narrative and budget narrative requirements and allowable activities are described in Appendix A. Base Formula Funding amounts are specified in Appendix B. Applicants that received the SAEF1 and/or SAEF2 grant(s) base funding and are applying for SAEF3 base funding, must show how they have expended SAEF1 and/or SAEF2 grant funds up to the SAEF3 application deadline.

2. Competitive Funding will support States with immediate readiness to adopt multiple innovative research- and evidence-based elements that expand Registered Apprenticeship, as well as the capacity to expend additional funding that supports innovation, sector strategies, and workforce system alignment. Applicants may refer to Program Activities described below for a list of allowable activities. Section IV.B.3. Project Narrative is only applicable to applicants applying for the Competitive Funding. States must submit separate applications (SF-424, SF-424A, Abstract, Project Narrative, Budget Narrative, and any other relevant application materials) for the Base Formula Funding and Competitive Funding, if applicable. Subject to available funding, States that apply for and are awarded a competitive grant will be able to receive this competitive funding one time (not on an annual basis).

B. PROGRAM DESIGN

While SAEF3 grantees and their strategies will be unique to specific needs, demographics, and geographic location, each State will share a set of common design elements. These common design elements include the requirements for RAPs and the quality framework for pre-apprenticeship programs described in [Training and Employment Notice \(TEN\) No. 23-23](#).

Registered Apprenticeship Programs

RAPs are a proven model of job preparation, validated by DOL or a DOL-recognized State Apprenticeship Agency (SAA), which combine paid On-the-Job Learning (OJL) with a mentor, with Related Instruction (RI) to progressively increase workers' skill levels and wages. RAPs are also a business-driven model that provide an effective way for employers to recruit, train, and retain highly skilled workers. RAPs allow workforce partners, educators, and employers to develop and apply industry standards to training programs, thereby increasing the skills, quality, and productivity of the workforce. Graduates of RAPs receive nationally recognized, portable credentials, and their training may be applied toward further post-secondary education.

RAPs are authorized under the National Apprenticeship Act of 1937 (29 U.S.C. 50 et seq.) and the program is implemented via regulations at 29 C.F.R. Parts 29 and 30. The Office of Apprenticeship (OA), in conjunction with SAAs, registers programs for federal purposes, ensures that RAPs meet applicable federal and State laws and regulations covering RAPs, issues certificates of completion to apprentices, encourages the development of new programs through outreach and technical assistance, protects the safety and welfare of apprentices, and ensures equal employment opportunity for apprentices.

Applicants may refer to <https://www.apprenticeship.gov/employers/registered-apprenticeship-program> for more information on the key elements of a RAP.

Quality Pre-apprenticeship Programs

A pre-apprenticeship program (29 CFR 30.2) is a training model designed to assist individuals who do not currently possess the minimum academic or skills requirements for selection into an apprenticeship program to meet the minimum selection criteria established in a program sponsor's apprenticeship standards required under part 29 of this chapter (29 CFR part 29) and which maintains at least one documented partnership with a RAP. It involves a form of structured workplace education and training in which an employer, employer group, industry association, labor union, labor management partnership, community-based or faith-based organization, or educational institution collaborate to provide formal instruction that will introduce participants to the competencies, skills, and materials used in one or more occupations.

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

1. **Partnership with RAP sponsors.** Quality pre-apprenticeship programs should be designed and delivered with input from at least one RAP sponsor. A pre-apprenticeship program's educational and pre-vocational services prepare individuals to meet the entry requisites of one or more RAPs and occupations.
2. **Sustainability through partnerships.** To support their ongoing sustainability, quality pre-apprenticeship programs establish partnerships with entities to collaboratively promote the use of RAPs as a preferred means for employers to develop a skilled workforce and to create quality career opportunities and pathways for individuals. Partnerships may include RAP sponsors, DOL-funded intermediaries who develop programs or provide training to programs, community and faith-based organizations, advocacy organizations that represent underserved populations, labor organizations, joint labor-management organizations, educational institutions (including high schools and community colleges), and the public workforce system.
3. **Meaningful training combined with hands-on experience replicating a workplace that does not displace paid employees.** Quality pre-apprenticeships provide hands-on training to individuals in a workplace, simulated lab experience, or work-based learning environment, which does not supplant a paid employee, but effectively simulates the industry and occupational conditions and standards of the partnering RAPs while observing proper supervision and safety protocols. Pre-apprenticeship programs ideally provide opportunities to obtain an industry-recognized credential, as well as potential stipends or wages when funding allows.
4. **Access to career and supportive services.** Quality pre-apprenticeship programs provide or otherwise ensure access to career and supportive services during the program, which may continue after a pre-apprentice enters a RAP. Services may include both financial and non-financial supports such as stipends, career counseling, career exploration, mentoring, transportation assistance, childcare, dependent care, rehabilitative services, textbooks, tools, emergency grants, and other types of services necessary for an individual to succeed in pre-apprenticeship programs and RAPs.
5. **Strategies that increase Registered Apprenticeship opportunities for underrepresented or underserved populations facing significant barriers to employment in the Registered Apprenticeship labor force.**

Pre-apprenticeship expansion efforts include, but are not limited to, the following:

1. Growing the pre-apprenticeship model into the in-demand industries (please refer to priority industries and occupations listed in the Executive Summary) and expanding on the use of the pre-apprenticeship model in the Workforce Innovation and Opportunity Act (WIOA) and other workforce or education programs that lead to RAP enrollment during the grant period of performance;
2. Supporting Registered Apprenticeship Equal Employment Opportunity efforts and the recruitment of underrepresented populations and underserved communities into pre-apprenticeship programs. These efforts can also include extending pre-apprenticeship programs for new populations and into new communities, including rural and urban neighborhoods; and
3. Building on existing pre-apprenticeship program expansion efforts already in place to maximize the use of resources and minimize the duplication of efforts, ultimately ensuring the core customers of the Registered Apprenticeship system are served efficiently.

Pre-apprenticeship programs funded through this grant must directly lead to enrollment in RAPs during the grant POP. Pre-apprenticeship programs funded under this grant should ensure that the skills and competencies being developed align with industry needs. It is allowable and encouraged for grant-funded pre-apprentice completers to receive grant-funded services in a RAP.

C. PROGRAM ACTIVITIES

This section applies to applicants applying for competitive funding.

Applicants applying for the Competitive Funding option must expand upon the work plan for the Base Formula Funding option. Applicants must serve a statewide geographic scope. The geographic scope is the physical service area in which awarded applicants will serve participants. The expanded work plan must:

1. Contain pertinent data to show and consider shortages and/or saturation in occupations. DOL wants to ensure States receive appropriate funding and resources to build up and expand their Registered Apprenticeship ecosystem.
2. Consider the State population distribution and describe how the State can increase access to and facilitate RAPs from start to completion. This includes plans to meet Utilization Goals for individuals with disabilities under 29 C.F.R. 30.7.
3. Describe how pipelines to opportunities across industries will be built and how the State intends to reach new and emerging industries and occupational sectors, and how States will build buy-in from stakeholders.
4. Include a detailed description of activities the applicant plans to initiate, charting out quarterly milestones for the 36-month POP. When an applicant applies for, and receives, subsequent rounds of funding in later years, subject to the availability of funding, they will update and/or make changes in their Project Narrative, Budget Narrative, and SF424A.

In addition to the expanded work plan described above, applicants for the Competitive Funding option must select a minimum of two activities from the list below. These activities support 1) State innovation, 2) sector strategies, and 3) workforce system alignment.

1. Provide a range of training services that support individuals, particularly from underrepresented populations and underserved communities, enrolled in a RAP, that may include Related Instruction reimbursement; OJL reimbursement; 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. (See Section IV.E. Funding Restrictions for more information).
2. Provide incentive funding to employers to support new or expand existing RAPs in targeted industries.
3. Plan and implement a Pay-for-Performance (PFP) model, a payment model that provides financial incentives for meeting certain performance measures and outcomes. For more information, see Section IV.E. Funding Restrictions, "Use of Funds for Pay-for-Performance (PFP) Models."
4. Establish statewide intermediaries or industry hubs to facilitate the adoption and expansion of RAPs, including but not limited to developing new occupations, providing TA, and adding employers.
5. Provide direct funding for a range of pre-apprenticeship programs that lead to enrollment in a RAP. Includes pre-apprenticeship activities that support underrepresented populations and underserved communities and increase opportunities to create career pathways for youth and adults.
6. Expand RAP opportunities for youth (between the ages of 16 and 24). Includes establishing and expanding partnerships that commit to expanding RAPs and/or pre-apprenticeship programs that lead to RAP enrollment for youth through coordination with industry, workforce intermediaries, labor organization, State Educational Agencies (SEAs) and Local Educational Agencies (LEAs), community colleges, youth-serving and community-based organizations, CTE programs, and other stakeholders.
7. Assist industries in creating RAPs for entry level occupations that are critical to the nation and develop strong career pathways or incumbent worker strategies that encourage employees to stay and grow through upskilling and credential attainment.
8. Promote innovation within RAPs to assist individuals with disabilities, such as increasing awareness and use of assistive technology and other new and emerging technology, as appropriate, as well as targeted outreach, recruitment, and retention activities identified in 29 C.F.R. 30.8.
9. Strategizing and implementing employer engagement methodologies to increase RAP adoption for in-demand industries and occupations within the State; conducting internal assessments as the basis of continuous improvement (i.e., improving time frame for registering new programs); and committing to data sharing, system change, and governance requirements to comply with the law and ensure a strong and modernized Registered Apprenticeship system.

D. PROGRAM AUTHORITY

The Further Consolidated Appropriations Act, 2024, Public Law 118-47, Division D, Title I authorizes this program. This appropriation allows the Department to award funds to "expand opportunities through RAPs only registered under the National Apprenticeship Act." Recipients must spend these funds on activities that will create or assist in the creation of RAPs. This program will support the development of new, or the expansion of existing, RAPs, as described

in 29 CFR Parts 29 and 30, or the development of new, or the expansion of existing, pre-apprenticeship programs that lead to enrollment in a RAP within the grant period of performance.

II. AWARD INFORMATION

A. AWARD TYPE AND AMOUNT

Funding will be provided in the form of a grant.

For SAEF3 funding, we expect availability of approximately \$85 million to award to States, as defined under 29 CFR 29.2, with Base Formula Funding described in Appendix B and up to 10 additional grants through the competitive portion of this announcement described above. You may apply for: (1) an amount up to the Base Funding amount specified in Appendix B, or (2) the Base Funding amount specified in Appendix B plus a separate application for a ceiling amount of up to \$5 million for the competitive portion. Awards made under this Announcement are subject to the availability of federal funds. If additional funds become available, we reserve the right to use such funds to select additional grantees from applications submitted in response to this Announcement. The Department reserves the right to change this amount depending on the quantity and quality of applications submitted.

B. PERIOD OF PERFORMANCE

The period of performance is 36 months with an anticipated start date of 07/01/2025. This performance period includes all necessary implementation and start-up activities.

As specified in the Executive Summary, both funding options (Base Formula and Competitive) will have a grant Period of Performance (POP) of 36 months. The Department is committed to awarding Base Formula Funding (based on a formula) and providing opportunities for eligible States to apply for Competitive Funding (i.e., those that have not previously received SAEF1 and SAEF2 Competitive Funding). Continuation of 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. DOL intends to provide funding on an ongoing basis contingent upon the availability of such funds.

III. ELIGIBILITY INFORMATION

A. ELIGIBLE APPLICANTS

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, as defined under 29 CFR 29.2 "State". For the purposes of this FOA, the eligible 54 U.S. States and territories include all 50 States of the United States, District of Columbia, and territories and whose Active Apprentices exceeds 100 apprentices, i.e., Guam, Puerto Rico, and American Samoa. Only States with more than 100 active registered apprentices (as of FY 24 data) are eligible to apply for both the Base and Competitive funds. Territories that have fewer than 100 active registered apprentices, i.e. The Commonwealth of the Northern Mariana Islands and The U.S. Virgin Islands, may only apply for the base funding of up to \$75,000 and are not eligible to apply for competitive funding. To view the Office of Apprenticeship's FY 2024 Data and Statistics, please visit

<https://www.apprenticeship.gov/data-and-statistics>.

States (the Governor's, or other chief elected officials, Office) must identify the State agency that will be the grant recipient (e.g., State Workforce Agency eligible for funding under Title I of the Workforce Innovation and Opportunity Act (WIOA), State Educational Agency, or an SAA). Only this entity will have 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 if the State agency applicant is not the SAA, and the partnership must be documented in the application through a letter of commitment from the Head of the SAA. Each State is limited to one Base Formula Funding application and one Competitive Funding application (if not previously awarded Competitive Funding under SAEF1 or SAEF2) for consideration under this opportunity.

A letter from the Governor (or other chief elected official) must be included in both the Base Formula Funding application and the Competitive Funding application to designate the Agency authorized to submit the State's application(s). This letter must also demonstrate the State's commitment to this grant effort. Specifically, the letter must:

1. Describe specifically how the Governor or chief elected official plans to support the expansion of quality and innovative RAPs being developed or expanded.
2. Designate the State agency to be the recipient of the award(s). For States with federally recognized SAAs, the SAA must be included as a partner if the State agency applicant is not the SAA. For States that do not have a federally recognized SAA, the State must commit to work in partnership with the federal Office of Apprenticeship within the State.

Any applications that do not include this letter will be considered nonresponsive; further, Competitive Funding applications that do not include this letter will be considered non-responsive and will not move forward through the merit review process. If more than one State entity applies from a State, ETA, in consultation with the Governor (or other chief elected official), will make the determination as to which agency's application will be considered. Only one Base Formula Funding award and Competitive Funding award per State will be executed. A State awarded Competitive Funding under SAEF1 or SAEF2 is not eligible to apply for Competitive Funding under this announcement.

This letter from the Governor or other chief elected official must be submitted as an attachment and clearly labeled as "Governor's Letter."

Letters sent separately from the application will not be considered.

Optional Partners: May include, but are not limited to, relevant organizations from the following list: tribal nations; Community Based Organization (CBO) or Minority Serving Institution (MSI) or Minority Serving Institutions' Organization or Association (MSIs are defined as HBCUs, HSIs, AANAPISIs, Tribal Colleges, and institutions with a primary focus on serving persons with disabilities and/or those in rural communities); workforce intermediaries, such as workforce development boards, labor unions and labor-management organizations, and private non-profit service providers; other organizations to support outreach and training activities, such as: industry-led training organizations, industry intermediaries, unions, or non-profit educational organizations; Small Business Development Centers; American Job Centers; community organizations that provide social support and/or wrap-around/supportive services; YouthBuild programs; foundations and philanthropic organizations; WIOA programs; federally-funded employment programs; adult education and higher-education partners; disability service

providers; faith-based organizations; State agencies administering federal funding from the Departments of Transportation, Defense, Commerce, Veterans Affairs, Education, Health and Human Services, Interior's Bureau of Indian Affairs, and Agriculture; State transportation agencies; and any other State agency administering a federally-funded program that would help the grantee further the goals of the Department.

B. COST SHARING

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

C. OTHER INFORMATION

1. Application Screening Criteria

You 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 Requirements	Instructions	Complete?
The deadline submission requirements are met	Section IV.C	
Eligibility	Section III.A	
The components of the application are saved in any of the specified formats and are not corrupt. (<i>We will attempt to open the document but will not take any additional measures in the event of problems with opening.</i>)	Section IV.C.2	
The Application for Federal Assistance request for Base Formula Funding does not exceed the amount specified in Appendix B	Section II.A	
The Application for Federal Assistance request for Competitive Funding does not exceed \$5 million (if applicable)	Section II.A	
SF-424, Application for Federal Assistance for Base Formula Funding	Section IV.B.1	
SF-424, Application for Federal Assistance for Competitive Funding (if applicable)	Section IV.B.1	
SF-424 forms include a Unique Entity Identifier (UEI)	Section IV.B.1	
SF-424A, Budget Information Form for Base Formula Funding option	Section IV.B.2	

Application Requirements	Instructions	Complete?
SF-424A, Budget Information Form for Competitive Funding option (if applicable)	Section IV.B.2	
Governor's Letter for Base Formula Funding option	Section III.A	
Governor's Letter For Competitive Funding option (if applicable)	Section III.A	
Letter from Head of SAA where the SAA is a required partner	Section III.A	
Abstract for Base Formula Funding option	Section IV.5	
Abstract for Competitive Funding option (if applicable)	Section IV.5	
Budget Narrative for Base Formula Funding option	Section IV.B.2	
Budget Narrative for Competitive Funding option (if applicable)	Section IV.B.2	
Project Narrative for Base Formula Funding detailed in Appendix A	Appendix A	
Project Narrative for Competitive Funding (if applicable)	Section IV.B.3	
State Work plan	Appendix A or Section IV.B.3.c.(1)	

2. Number of Applications Applicants May Submit

We will consider only one Base Formula Funding application and one Competitive Funding application from each organization. If we receive multiple applications of either the Base Formula Funding or Competitive Funding from the same organization, we will only consider the most recently received application that met the deadline.

3. Eligible Participants

For the purposes of this grant program, eligible participants are persons 16 years of age and older who receive a direct, grant-funded service. The purpose of these funds is to support new apprentices, individuals interested in entering a RAP, individuals in pre-apprenticeship programs leading to enrollment in a RAP, retention of registered apprentices, and apprentices completion of a RAP. To encourage active apprentices to stay in their program and increase retention, grant funds may be used for registered apprentices already enrolled in a RAP.

Participants may be directly served with grant funds under the Base Formula Funding option. However, targets for participants served will not be required for Base Formula Funding.

Applicants must set targets for Participant and Apprentice Outcomes and Expanding Registered Apprenticeship Program Outputs for the Competitive Funding option. Please see Section

IV.B.3.b Expected Outcomes and Outputs and Appendix D Suggested Performance Outcomes and Outputs Table. If applicants select activities that do not directly result in Participant Outcomes or Program Outputs, they must propose targets related to their proposed activities.

For the purposes of the SAEF3 FOA, reportable individuals are not participants. A “reportable individual” is 1) an individual that has been impacted by the development or expansion of a grant-funded registered apprenticeship program; and 2) is enrolled in a RAP; and 3) is at least 16 years old. This individual is enrolled in a RAP that was developed or expanded with grant funds and is, therefore, impacted by the grant, but does not receive a direct, grant-funded participant-level service. For the purposes of this FOA, the target under “Participant and Apprentice Outcomes” entitled “Total number of individuals enrolled in a RAP that was developed using SAEF grant funds” is the target for reportable individuals. For reporting purposes, participants as well as reportable individuals are reported into WIPS.

Among the individuals eligible to receive services, the Department is particularly interested in the following groups:

- Unemployed workers: For the purposes of this FOA, we define “unemployed worker” as an individual who is without a job and who wants and is available to work. This can include the long-term unemployed, such as individuals who have been unemployed for six months or more, and youth who have dropped out of school and are seeking their first full-time job.
- Dislocated workers: For the purposes of this FOA, this term refers to individuals who were terminated or laid-off or have received a notice of termination or lay-off from employment or were self-employed but are now unemployed.
- Incumbent workers: For the purposes of this FOA, incumbent workers are individuals already in a registered apprenticeship program (i.e., they are currently a registered apprentice) before enrollment in the grant. To qualify as an incumbent worker, an individual must have an established and documented employment history with the employer associated with the RAP for six months or more.
- Underemployed workers: This term refers to individuals who are not currently connected to a full-time job commensurate with the individual’s level of education, skills, or wage and/or salary earned previously, or who have obtained only episodic, short-term, or part-time employment.

You may also propose projects that could include some services for individuals who do not fall into one of the four targeted categories listed above, as long as services for these individuals align with the primary intent and focus of the proposed project and support placement into a RAP within the grant period of performance. This includes proposing projects to meet Utilization Goals for Individuals with Disabilities under 29 C.F.R. 30.7. As noted in 30.7(a), “The Administrator of OA has established a utilization goal of 7 percent for employment of qualified individuals with disabilities as apprentices for each major occupation group within which the sponsor has an apprenticeship program” ([eCFR :: 29 CFR Part 30 -- Equal Employment Opportunity in Apprenticeship](#)). While this is permissible, you may only provide services to a limited number of individuals who do not fall into one of the four targeted categories listed above, and your project must still primarily focus on providing services to workers in one or more of those four targeted categories.

Veterans' Priority for Participants

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

IV. APPLICATION AND SUBMISSION INFORMATION

A. HOW TO OBTAIN AN APPLICATION PACKAGE

This FOA, found at www.Grants.gov and <https://www.dol.gov/agencies/eta/grants/apply/find-opportunities> contains all of the information and links to forms needed to apply for grant funding.

B. CONTENT AND FORM OF APPLICATION SUBMISSION

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

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

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

1. SF-424, "Application for Federal Assistance"

You must complete the SF-424, "Application for Federal Assistance" (available at <https://www.grants.gov/forms/forms-repository/sf-424-family>).

- 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 organization's legal name on the SF-424 should match its name registered in the System for Award Management at www.sam.gov. If unsure of the legal name of your organization, visit www.sam.gov to confirm.

- The organization's Employer Identification Number (EIN) and Unique Entity Identification (UEI) Number should match its information in www.sam.gov. If unsure of the EIN or UEI of your organization, visit www.sam.gov to confirm.
- The SF-424 must clearly identify the applicant and must be signed by an individual with authority to enter into a grant agreement. Upon confirmation of an award, the individual signing the SF-424 on behalf of the applicant is considered the Authorized Representative of the applicant. As stated in block 21 of the SF-424 form, the signature of the Authorized Representative on the SF-424 certifies that the organization is in compliance with the Assurances and Certifications form SF-424B (available at <https://www.grants.gov/forms/forms-repository/sf-424-family>). You do not need to submit the SF-424B with the application.

a. Requirement for Unique Entity Identifier

All applicants for federal grant funding must have a Unique Entity Identifier (UEI) and must supply their UEI on the SF-424. The UEI is a 12-character (alpha-numeric) code that uniquely identifies all entities. Any entity registering to do business with the government is required to have one. UEIs are issued by SAM.gov and are a part of an entity's record in the Entity Information section of SAM.gov. If you do not have a UEI, you can get one for free at <https://sam.gov>.

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

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

(See Appendix A to 2 CFR Part 25.)

b. Requirement for Registration with SAM

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

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

2. Project Budget

You must complete the SF-424A Budget Information Form (available at [grants.gov/forms/forms-](https://www.grants.gov/forms/forms-repository/sf-424-family)

[repository/sf-424-family](#)). In preparing the Budget Information Form, you must provide a concise narrative explanation to support the budget request, explained in detail below.

a. Budget Narrative

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

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

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

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

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

Equipment: Identify each item of equipment you expect to purchase that has an estimated acquisition cost of \$10,000 or more per unit (or if your capitalization level is less than \$10,000, use your capitalization level) and a useful lifetime of more than one year (see 2 CFR Part 200.1 for the definition of Equipment). List the item, quantity, and the unit cost per item.

Items with a unit cost of less than \$10,000 are supplies, not "equipment." In general, we do not permit the purchase of equipment during the last funded year of the grant.

Supplies: Identify the cost of supplies (e.g., general office supplies, desk/chairs, laptops/printers, other specialty items) in the detailed budget per category. Except for general office supplies, list the item, quantity, and the unit cost per item. Supplies include all tangible personal property other than "equipment" (see 2 CFR Part 200.1 for the definition of Supplies).

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

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

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

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

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

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

or

b) If you intend to claim indirect costs using the 15 percent de minimis rate, please confirm that your organization meets the requirements as described in 2 CFR Part 200.414(f). Clearly state that your organization does not have a current negotiated (including provisional) rate, and is not one described in 2 CFR Part 200, Appendix VII(D)(1)(b).

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

- **Modified Total Direct Cost (MTDC) Definition:** To avoid a serious inequity in the distribution of indirect costs, DOL defines MTDC as all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$50,000 of each subaward or subcontract (regardless of the period of performance of the subawards and subcontracts under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward or subcontract in excess of \$50,000.
- You will also note that participant support costs are not included in modified total direct costs. Participant support costs are defined below.
- 2 CFR Part 200.1 Participant Support Cost means direct costs that support participants (see definition for Participant in § 200.1) and their involvement in a Federal award, such as stipends, subsistence allowances, travel allowances, registration fees, temporary dependent care, and per diem paid directly to or on behalf of participants.

See Section IV.B.4. and Section IV.E.1 for more information. Additionally, the following link contains information regarding the negotiation of Indirect Cost Rates at DOL:

<https://www.dol.gov/agencies/oasam/centers-offices/office-of-the-senior-procurement-executive/cost-price-determination-division>.

Indirect-type costs (such as top management salaries, financial oversight, human resources, payroll, personnel, auditing costs, accounting and legal, etc. used for the general oversight and administration of the organization) **must not be classified as direct costs**; these types of costs are recovered as part of charging the de minimis or NICRA rate. Note that the SF-424, SF-424A, and Budget Narrative must include the entire federal grant amount requested (not just one year).

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

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

Applicants must submit the required parts, SF-424, SF-424A, and Budget Narrative, for the Base Formula Funding option and, if applicable, separate SF-424A and Budget Narrative for the Competitive Funding option.

3. Project Narrative

See Appendix A for the Base Formula Funding Project Narrative requirements. Your response to Appendix A will not count against the page limit specified below.

The below Project Narrative requirements are only applicable for applicants also applying for the Competitive Funding option. Applicants submitting applications for both the Base Formula Funding and Competitive Funding options must submit a Project Narrative for each funding option.

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

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

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

The following instructions provide all of the information needed to complete the Project

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

a. Statement of Need (Up to 20 Points)

1. To receive full points, applicants must identify targeted industry(ies) and/or occupation(s) and link evidence to support the need for those industry(ies) and/or occupations in the State to be served. (Up to 10 points)
 - a. Evidence may be pulled from the [Bureau of Labor Statistics](#), [Census Bureau](#), other DOL sources, State workforce agencies, employers, or other written labor market information provided by experts in the field.
2. To receive full points, applicants must identify any currently active OA grants awarded to the applicant, including total award amount and amount unspent (including time left to spend under the grant), including but not limited to, prior SAEF1 and SAEF2 grants (Up to 10 points). If applicant states that they do not have any active OA grants, they receive full points.
 - a. Explain how the applicant will ensure appropriate expenditure of current unspent funds while concurrently spending down new funds from this grant program.
 - b. Detail how the applicant is building on and completing work started from past and present OA grant programs.
 - c. For each OA grant, state the start of the period of performance, end of the period of performance, and expenditure rate for each grant based on the period of performance.
 - d. Demonstrate how the applicant will expend their combined SAEF1 and SAEF2 funds, if applicable, and SAEF3 funds to meet their project goals.

b. Expected Outputs and Outcomes (Up to 12 Points)

To receive full points, applicants must present their information in a performance measure outcome table (see Appendix D for a sample format) to be included as an attachment to the Project Narrative. If no separate table is provided, the Applicant will receive 0 points for this section.

- Applicants must provide target numbers to achieve during the grant POP. If funded, applicants are responsible for meeting these target numbers and therefore targets should be reasonable and adequately reflect the size and scope of the project.
- Applicants must clearly identify Program Outputs and Participant outcomes that will result from the project (reference Appendix D for more information).

If applicants select activities that do not result in Participant Outcomes or Program Outputs, they must propose targets related to their proposed activities. These targets will be scored up to (12 points).

(1) Participant and Apprentice Outcomes (up to 6 points)

Outcomes are the measurable results of the project. They are the positive benefits or negative changes or measurable impacts that occur because of project activities or outputs. Applicants are required to set targets and track the following seven outcomes:

- i. Total participants served
- ii. Total participants who enroll in a RAP during the grant's period of performance
- iii. Total participants who complete a RAP during the grant's period of performance
- iv. Total number of participants who enroll in a pre-apprenticeship
- v. Total number of participants who complete a pre-apprenticeship
- vi. Total number of individuals (Reportable Individuals as defined in Section III.C) enrolled in a RAP that was developed using SAEF3 grant funds
- vii. Total number of individuals enrolled in a pre-apprenticeship that was developed using SAEF3 grant funds

"Total participants served" are those eligible participants who are persons 16 years of age and older who receive a direct grant-funded service. To encourage active apprentices to stay in their program and increase retention, grant funds may be used for registered apprentices already enrolled in a RAP.

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

(2) Program Outputs (up to 6 points)

Outputs are tangible products or services that result from the project.

Applicants, who select activities that will directly result in program creation and expansion, are required to provide targets for the following performance metrics to track developing new RAPs, expanding existing RAPs, and as applicable developing pre-apprenticeships and expanding pre-apprenticeships that lead to RAP enrollment and the rationale for how the target was derived. The four targets described below must be included in the performance measure outcome table in Appendix D discussed above. Applicants must provide raw numbers for each of the target output measures; otherwise, they will not receive full points. Applicants must also demonstrate their goals are feasible and achievable to be eligible to receive full points.

Percentages, percent increases, or other types of data projections are not acceptable.

- i. Total RAPs created as a result of SAEF3 grant funding
- ii. Total RAPs expanded as a result of SAEF3 grant funding
- iii. Total pre-apprenticeship programs created as a result of SAEF3 grant funding (as applicable)
- iv. Total pre-apprenticeship programs expanded as a result of SAEF3 grant funding (as applicable)

c. Project Design (Up to 26 Points)

Work Plan

To receive full points, applications must identify and include clear and measurable project goals

and milestones, key activities, and key partners of the proposed grant project as described in the narrative in the work plan attachment as outlined in Appendix E. This criterion is directly related to the work plan as described under Program Activities in Section I.A. Note: Attachments do not count against page limitation. (Up to 26 points).

Narrative description that clearly identifies the overall project goals and milestones for developing and/or expanding RAPs, including pre-apprenticeships that lead to enrollment in RAPs as appropriate, which will result from the apprenticeship project. The narrative description must demonstrate that milestones are feasible based on the project design. The plan must include a detailed description of activities the applicant plans to initiate, charting out quarterly milestones for the 36-month POP. When an applicant applies for subsequent rounds of funding in later years, they will update and/or make changes in their Project Narrative, Budget Narrative, and SF424A. The work plan narrative must include and fully explain all the following:

1. Project goals, which are the overarching achievements that will be pursued, including how these project goals will advance the Department's goals for SAEF3 set forth in the Executive Summary above (up to 2 points).
2. Quarterly Milestones, which are key markers of grant progress; these are typically expressed in the form of an action or event marking a significant change or stage in development (up to 8 points)
3. Key Activities, at least two from the list provided under Program Activities (Section I.A.), and time frames for the following (up to 10 points):
 1. Improving RAP quality: The State must provide its overall strategy for improving and maintaining RAP quality.
 2. Expanding Registered Apprenticeship to new occupations. Provide a clear description of how the State will:
 1. Expand Registered Apprenticeship in occupations offered throughout the State, and a description of how it will promote occupations and industries where RAPs are not currently prevalent. There must be extensive effort to ensure the quality of newly expanded programs is as good or better than existing programs.
 3. If applicant's proposed grant project includes pre-apprenticeship efforts: Provide a clear description of pathways from a pre-apprenticeship to RAP enrollment for adults and/or youth.
4. Partnership with the State and local workforce system. The Work Plan is created in conjunction with the applicants State workforce agency and local boards, and outlines a strategic vision that demonstrates linkages and coordination with the State and local level's economic development strategies and publicly-funded workforce investment system. (up to 6 points)

d. Organizational, Administrative, and Fiscal Capacity (up to 18 Points)

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

To receive full points, the application must include a detailed description demonstrating the applicant's capacity to effectively manage each component of the program including a narrative and functional organizational chart.

- The organizational chart that identifies the applicant, required partners, and other proposed partners, as applicable.
- The chart must describe the structure of the relationships of all partners involved in the project.
- The chart must also identify the proposed project's staffing plan to illustrate that partners have the capacity to support the lead applicant to carry out the proposed project.

(2) Financial, Data Collection, and Performance Reporting Systems (6 points)

To receive full points, applicants must provide a comprehensive description of the existing or planned systems and processes that the applicant will use to provide timely and accurate financial and performance reporting for both participants and reportable individuals. The description must include all three items below:

1. A process for tracking participant-level data on participant characteristics, services, activities, and employment outcomes of registered apprentices served through the project to report to the Department during the life of the grant.
2. A process for tracking reportable individuals (refer to Eligible Participants for more information about reportable individuals).
3. In addition, the description must detail how these systems will be used to regularly assess progress towards the identified performance goals and that rigorous performance reporting will be considered in staffing and budgeting plans.

Applicants must agree to meet DOL reporting requirements and provide individual record-level data that would be made available for evaluation and national reporting purposes. Please refer to Section VI.C. for additional information.

(3) Sustainability (6 points)

To receive full points, applicants must provide a detailed sustainability strategy that includes the following elements organized in the following manner:

1. Description of the resources, processes, and methods the program will use to ensure institutional capacity to support the program(s) in the long-term, demonstrating strong potential to continue program activities without future federal funding, including accomplishments or innovations that support a broader workforce development agenda; and
2. Demonstration of plans for the sustainability of partnerships, particularly those that align with expanding RAP and aligning and coordinating it with other key workforce and education systems.

e. Past Performance – Programmatic Capability (Up to 12 Points)

To receive full points, applicants must use the information below and provide the applicable past performance information. There are different instructions depending on your past grant experience. Applicants must use the below information to determine which instructions are

applicable to their organization. Applicants that do not have completed grant experience within the past five years as described in the instructions below will not submit a chart and no points will be awarded for this rating factor. Failure to provide a past performance chart will result in zero points awarded for this rating factor.

Applicant Past Performance Description	Instructions based on your Past Grant Experience
Applicants who have completed an OA grant award within the past five years of the closing date of this Announcement	Applicants that have completed an OA grant award from the Department will receive points based on past performance demonstrated by the Quarterly Performance Report and Quarterly Financial Report (ETA-9130). The information below must be from their most recently completed OA grant and provided in a Past Performance Chart as an attachment to the Project Narrative.
Applicants who have completed an ETA agreement but not an OA grant award	Applicants that have completed an ETA agreement within the last five years of the closing date of this Announcement must submit past performance for their ETA agreement. The information provided must be from their most recently completed ETA grant and must be provided in a Past Performance Chart with all the elements outlined below. The Past Performance Chart must be provided as an attachment to the Project Narrative.
Applicants that have only completed non-ETA assistance agreements (federal or non-federal grants and cooperative agreements but not federal contracts)	Applicants that have completed a federally and/or non-federally funded assistance agreement similar in size, scope, and relevance to the proposed project within the last five years of the closing date of this Announcement must provide the information below. The information must be provided from their most recently completed similar grant in a Past Performance Chart as an attachment to the Project Narrative.

Performance Chart

The Past Performance Chart must include the following information:

1. Grantor name and contact information
2. Project title and grant number
3. Project information/grant objectives
4. Funding amount and project period of performance
5. Number of participants served
6. Population served
7. Performance goals

Below is a sample format for the Past Performance Chart. If submitting non-ETA grant past performance data, the chart must be signed by the grantor, or a letter (on grantor letterhead) must be provided from the grantor verifying the past performance data. Failure to provide a signature of the grantor with non-ETA past performance data will result in 0 points for this section.

Applicants should use the performance indicators most similar to:

- i. RAPs created and/or expanded,
- ii. Number of participants served
- iii. Number of participants served who enroll in a RAP, and
- iv. Number of Pre-apprentices who completed a pre-apprenticeship and enrolled in a RAP (if applicable).

ETA views the above indicators as the most critical to demonstrating that the applicant's past success in a similar program has prepared its organization to succeed in operating an OA grant, contract, and/or cooperative agreement. Applicants may substitute a different indicator if the substituted indicator is applicable to the outcomes required in this FOA.

In the chart, applicants must identify the performance indicators, the goals, and the outcomes. Data for each performance indicator must be displayed as both a fraction (i.e., the numerator equal to the number of program participants who achieved the identified indicator (Outcome) and the denominator equal to the total program participants expected to achieve the identified indicator (Goal) and a percentage.

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

Applicants will receive points based on past performance demonstrated in the performance chart as follows:

1. Applicants that exceeded at least two performance goals for their most recently completed grant will receive 12 points for this subsection.
2. Applicants that met at least one performance goal and exceeded at least one performance goal for their most recently completed grant will receive 8 points for this subsection.
3. Applicants that met at least two of their performance goals for their most recently completed grant will receive 6 points for this subsection.

Name of Previous Grantor Organization:				
Grantor Contact - Name, Title, Signature (if non-ETA grant), E-mail Address, and Telephone Number:				
Project Title and Grant Number:				
Project Period of Performance:				
Number of Participants Enrolled and Populations Served:				
Performance Goals				
Performance Indicator	Goal	Outcome	Outcome /Goal (Fraction)	Rate of Goal Achievement (Percentage)
<i>RAPs created and/or expanded</i>	60	58	58/60	97%

<i>Number of participants served</i>	<i>100</i>	<i>105</i>	<i>105/100</i>	<i>105%</i>
<i>Number of participants served who enroll in a RAP</i>	<i>100</i>	<i>75</i>	<i>75/100</i>	<i>75%</i>
<i>Number of Pre-apprentices who completed a pre-apprenticeship and enrolled in a RAP.</i>	<i>20</i>	<i>15</i>	<i>15/20</i>	<i>75%</i>

g. Budget and Budget Narrative (Up to 12 Points)

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

- The extent to which the proposed expenditures will address all project requirements, and whether key personnel have adequate time devoted to the project to achieve project results. Additionally, the requested funding amount is appropriate for the proposed project, geographic scope, participant outcomes, and program outputs. (Up to 6 points)
- A description of costs associated with each line item on the SF-424A and includes the cost-per-participant including how grant-funded participant services is broken down by Supportive Services, Related Instruction, and/or OJL, and the number of individuals who will receive the direct grant funds. It should also include a complete description of leveraged resources provided (as applicable) to support grant activities. (Up to 4 points)
- The alignment of the SF-424A line items with the Budget Narrative headings. (2 points)

4. Attachments to the Project Narrative

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

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

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

a. Required Attachments

(1) Abstract

You must submit an up to three-page abstract summarizing the proposed project including, but not limited to, the scope of the project and proposed outcomes. Omission of the abstract will not result in your application being disqualified; the lack of the required information in the abstract, however, may impact scoring. See III.C.1 for a list of items that will result in the disqualification of your application. Should you be selected for an award, the information

provided in your abstract may be published to a public facing website as a summary of your project. The abstract must include the following:

1. The lead applicant's name
2. The lead applicant entity type
3. The lead applicant city and State
4. Application Type (Base Formula Funding or Competitive Funding Application)
5. The project title
6. The funding amount requested
7. The total number of apprentices enrolled in RAPs during the life of the grant, if applicable
8. Population(s) to be served
9. Required Partner (for States with federally-recognized SAAs and if the SAA is not the lead applicant)
10. Optional Partner(s)
11. Targeted Industry(ies)
12. Targeted Occupation(s)
13. List of credentials to be awarded
14. Summary of program activities
15. Subrecipient roles: List all subrecipients and the roles(activities) they will fill on the proposed project. Roles should be aligned to proposed work Plan.
16. Public contact information

Applicants must submit an abstract for the Base Formula Funding option and, if applicable, a separate abstract for the Competitive Funding option. Applicants must complete and submit the appropriate abstract(s) for their application. Please make note of the Funding option in each abstract before completing.

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

This letter from the Governor or chief elected official must be submitted as an attachment and clearly labeled as "Governor's Letter." The required content of this letter is described in Section III.A.

(3) A letter of commitment from the Head of the State Apprenticeship Agency

Where the State Apprenticeship Agency is a required partner, a letter of support from the SAA State Director must be submitted as an attachment and clearly labeled as "SAA Letter." If the SAA Letter cannot be obtained from the State Apprenticeship Agency, a letter from the Authorized Representative of the applicant must be provided in the application with an explanation of efforts made to obtain the SAA Letter, and why the letter cannot be obtained. Applicants who submit either the SAA Letter, or the explanation, will meet this requirement.

(4) Work Plan

The work plan must be submitted as an attachment and clearly labeled as "Work Plan". See Appendix A for more information on the work plan for the Base Funding option. See Program Activity and Section IV.B.3.c.(1) Work Plan for more information for the Competitive Funding option. For a suggested template, see Appendix E.

b. Requested Attachments

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

(1) Past Performance Documentation

This attachment must include both the Chart of Past Performance and the Grantor Verification Letter (if the chart is not signed by the Grantor).

See Section IV.B.3.e for which applicants are to submit this documentation and additional instructions.

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

(2) Letters of Commitment or MOUs

Submit signed and dated Letters of Commitment or Memoranda of Understanding between the applicant and partner organizations and/or sub-grantees that propose to provide services to support the program model and lead to the identified outcomes. See Section III.A. Optional Partners

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

(3) Indirect Cost Rate Agreement

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

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

(4) Financial System Risk Assessment Information

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

C. SUBMISSION DATE, TIME, PROCESS AND ADDRESS

Due Date for Applications:

March 18, 2025

You must submit your application electronically on <https://www.grants.gov> **no later than 11:59 p.m. Eastern Time on the closing date.**

Applicants are encouraged to submit their application before the closing date to minimize the risk of late receipt. We will not review applications received after 11:59 p.m. Eastern Time on the closing date. We will not accept applications sent by hard-copy, e-mail, telegram, or facsimile (FAX).

1. Hardcopy Submission

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

2. Electronic Submission through Grants.gov

Applicants submitting applications must ensure successful submission **no later than 11:59 p.m. Eastern Time on the closing date**. Grants.gov will subsequently validate the application.

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

a. How to Register to Apply through Grants.gov

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

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

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

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

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

When a registered applicant submits an application with Grants.gov, an electronic time stamp is generated within the system when the application is successfully received by Grants.gov. Grants.gov will send the applicant AOR an email acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) with the successful transmission of the application, serving

as proof of timely submission. The applicant will receive two email messages to provide the status of the application's progress through the system.

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

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

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

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

We encourage new prospective applicants to view the online tutorial, "Grant Applications 101: A Plain English Guide to ETA Competitive Grants," available through WorkforceGPS at <https://grantsapplicationandmanagement.workforcegps.org/resources/2022/05/10/15/23/How-to-Apply-for-a-Grant>.

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

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

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

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

Late Applications

We will consider only applications successfully submitted through Grants.gov no later than 11:59 p.m. Eastern Time on the closing date and then successfully validated. **You take a significant risk by waiting to the last day to submit through Grants.gov.**

D. INTERGOVERNMENTAL REVIEW

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

E. FUNDING RESTRICTIONS

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

Indirect Costs

As specified in the Uniform Guidance Cost Principles, indirect costs are those costs incurred for a common or joint purpose benefitting more than one cost objective and not readily assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved. It may be necessary to establish multiple pools of indirect costs to facilitate equitable distribution of indirect expenses to the cost objectives served. Indirect cost pools must be distributed to benefitted cost objectives on basis that will produce an equitable result in consideration of relative benefits derived. 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 if you 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 15 percent of Modified Total Direct Costs (see DOL's definition below) to support indirect costs. Within 90 days of award, you are required to submit an acceptable indirect cost proposal or CAP to your federal Cognizant Agency to obtain a provisional indirect cost rate. (See Section IV.B.4. for more information on NICRA submission requirements.)

Option 2: Any organization that does not have a current negotiated (including provisional) rate, with the exceptions noted at 2 CFR Part 200.414(f) in the Cost Principles, may elect to charge a de minimis rate of 15 percent of modified total direct costs (see DOL's definition below). The de minimis rate may be used indefinitely. When applying the de minimis rate, costs must be consistently charged as either direct or indirect costs and may not be double charged or

inconsistently charged as both. Once elected, the recipient or subrecipient must use the de minimis rate for all Federal awards until such time as the award recipient or subrecipient chooses to receive a negotiated rate. (See 2 CFR Part 200.414(f) for more information on use of the de minimis rate.)

Modified Total Direct Cost definition: To avoid a serious inequity in the distribution of indirect costs, DOL defines MTDC as all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$50,000 of each subaward or subcontract (regardless of the period of performance of the subawards and subcontracts under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward or subcontract in excess of \$50,000.

Intellectual Property Rights and Open Licensing

Pursuant to 2 CFR Part 2900.13, and 2 CFR 200.315(d), 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 an open license.

The term ‘open license’ means a worldwide, royalty-free, non-exclusive, perpetual (for the duration of applicable copyright), irrevocable, standard open copyright license and must grant the public permission to access, reproduce, publicly perform, publicly display, adapt, distribute and otherwise use the work and adaptations of the work for any purposes, subject only to the condition that attribution be given to authors and rights holders as designated.

Work that must be openly licensed 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. As part of the requirement to openly license grant-funded products, grantees must post their products (with the open license affixed) to a public distribution platform.

Only work that is developed by the recipient in whole or in part with grant funds is required to be licensed under the open 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 open licensing requirement.

The purpose of the open 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.

Questions about open licensing as it applies to this specific funding opportunity should be submitted to the ETA Grants Management Specialist specified in Section I. The Department will provide technical assistance to support open licensing during the period of performance.

Separate from the open 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 in accordance with the provisions of the grant award and 2 CFR 200.307.

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

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

Credential Transparency

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

Use of Grant Funds for Participant Wages

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

On-the-Job Learning (OJL): For the purposes of grants awarded under this FOA, funds may be used to subsidize the training and education costs for Registered Apprentices enrolled in

programs. For grants awarded under this FOA, the negotiated reimbursement percentage may be as high as 50 percent of the apprentice's hourly wage. However, DOL encourages grant recipients to negotiate lower rates or variable rates (such as starting at the maximum allowable reimbursement rate and reducing over time), where possible, to ensure that the maximum number of Registered Apprentices will be served by the project. Finally, grant recipients must develop OJL contracts as discussed below. The contract process sets the ground rules for OJL with an employer and assists in making the determination if an employer is eligible to provide an OJL opportunity. The contract must include the federally required elements of an OJL agreement; however, States, counties, or municipalities may have additional OJL contract requirements.

Contracts also outline the terms and conditions that the employer agrees to provide for an OJL experience. Contracts with an employer can be set up for a specific time period but need not necessarily specify the individual trainees to whom they apply. This allows the employer to provide training to more than one trainee. If an employer only has one position or plans to limit the training experience to one employee, then a contract must also include the individual trainee's information. For these grants, contracts must provide that the employer is responsible for documenting skills gained by Registered Apprentices during the training period. It should also include a description of how the reimbursement level was determined. For guidance on federally required elements of an OJL, sample templates, and other resources, grant recipients may access ETA's online technical assistance related to an OJL contract on WorkforceGPS.org at the following web address: [https://ion.workforcegps.org/resources/2017/12/01/11/19 On-the-Job-Training-Toolkit](https://ion.workforcegps.org/resources/2017/12/01/11/19%20On-the-Job-Training-Toolkit)

Grant Recipient Technical Training: Grant recipients are required to participate in all ETA training activities related to grantee orientation, financial management and reporting, performance reporting, product dissemination, and other technical assistance and training as appropriate during the grant period. These sessions may occur via conference calls, virtual events such as webinars, and in-person meetings.

Use of Funds for Supportive Services for Registered Apprentices and Pre-apprentices: While applicants are encouraged to leverage supportive services through WIOA grant programs or other funding available, when funds are not otherwise available, grant recipients may use up to 20 percent of grant funds to provide supportive services to individuals who are participating in pre-apprenticeship and registered apprenticeship activities provided through this grant. This includes individuals enrolled in RAPs that were developed using SAEF3 grant funds, in which case these individuals would then become participants.

Under this FOA, supportive services for training pre-apprentices and registered apprentices include but are not limited to: childcare and long term services and supports; linkages with community services; tools, work clothing, or equipment required to train for a job; application fees and other costs of apprenticeship or required pre-employment training; transportation and travel to training and work sites; housing; internet access; mental health counseling, substance use treatment, or other behavioral health services; reasonable accommodations and/or costs related to direct service professionals who provide assistance to persons with disabilities; legal assistance; educational testing; financial counseling; needs-based payments or emergency cash assistance; services specially geared at attracting and retaining underrepresented groups, such as mentoring, support groups, and peer networking.

For the purposes of this FOA, grant recipients may use grant funds, up to the percentage specified above, to provide supportive services only to individuals who are participating in education and training activities provided through this grant and when such services are necessary to enable individuals to participate in education and training activities under this grant. Grant recipients may establish limits on the provision of supportive services or provide their sub-recipients with the authority to establish such limits, including a maximum amount of funding and maximum length of time for supportive services to be available to apprentices. Grant recipients must ensure that their use of grant funds on supportive services is consistent with their organization's established written policy on the provision of supportive services. Additionally, we encourage grant recipients to identify other sources of funding for supportive services, including through co-enrolling in WIOA.

Use of Funds for Incentives to Employers: Applicants may use up to 20 percent of grant funds to provide one-time "incentive" funds to new employers, joint labor management organizations, or industry associations (or other partners included in a multi-employer partnership) to directly fund new or expand existing RAPs in targeted industries in which they are serving. Allowable uses of incentive funding to support RAP development, launch, and sustainability, include:

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

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

Use of Funds for Pay-for-Performance (PFP) Models: Applicants may use up to 20 percent of grant funds to provide a sustainable approach that reward RAP sponsors for achieving specific milestones such as maintaining Registered Apprentice enrollment in the RAP and credential attainment of Registered Apprentices. PFP implementation must include:

- **Clarity of Purpose.** PFP programs must clearly define the performance they are seeking to reward;
- **Financial Incentives.** Meaningful financial incentives that can encourage new sponsors to engage in the targeted activities sought;

- **Objective and Verifiable Milestones.** Clear, objective milestones that can be documented and verified to the State to warrant payment to sponsors; and
- **Schedule of Payments tied to Achievement of Milestones.** Clear schedule of payments tied to achievement of milestones that can provide assurances to program sponsors of timing for reimbursement for activities undertaken. This schedule must account for the time required to evaluate results and to make payments; final payments must occur before the end of the grant POP. Before the end of the second year of the POP, DOL will work with grantees to assess progress to date and determine budget realignment, as needed.
- **Examples of risk mitigation and technical assistance.** Clear strategies and approaches that may be used to identify and address any issues or challenges so that sponsors are in position to successfully meet milestones.

Additional PFP information and requirements

Funds used to develop PFP models must be aligned to the goals and activities of this FOA. Applicants must have written policies and procedures in place governing the awarding of funds toward PFP models, and the funds provided under this FOA must comply with these organizational policies. Policies and procedures should include detailed processes for identification of recipients, distribution, and management of the PFP funds to ensure RAP sponsor commitments are met, including mitigation strategies. Further, grantees shall also provide, in quarterly narrative reports to the Department, all sponsor recipients of PFP funding, status of activities related to the use of PFP funding, and when feasible, itemized costs related to the use of PFP funding. For additional information, please refer to https://www.dol.gov/sites/dolgov/files/ETA/advisories/TEGL/2020/TEGL_8-20.pdf and <https://ion.workforcegps.org/resources/2021/02/12/18/01/Pay-for-Performance-Resources>

F. OTHER SUBMISSION REQUIREMENTS

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

V. APPLICATION REVIEW INFORMATION

A. CRITERIA

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

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

Criterion	Points (maximum)
1. Statement of Need (See Section IV.B.3.a. Statement of Need)	20 total
2. Expected Outputs and Outcomes (See Section IV.B.3.b. Expected Outcomes and Outputs)	12 total
3. Project Design (See Section IV.B.3.c. Project Design)	26 total
4. Organizational, Administrative, and Fiscal Capacity (See Section IV.B.3.d. Organizational, Administrative, and Fiscal Capacity)	18 total
5. Past Performance – Programmatic Capability (See Section IV.B.3.e. Past Performance – Programmatic Capability)	12 total
6. Budget and Budget Justification (See Section IV.B.3.f Project Budget)	12 total
TOTAL	100

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

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

In order to receive the maximum points for each rating factor, applicants must provide a response to the requirement that fully describes the proposed program design and demonstrates the quality of approach, rather than simply re-stating a commitment to perform prescribed activities. In

other words, applicants must describe why their proposal is the best strategy and how they will implement it, rather than that the strategy contains elements that conform to the requirements of this FOA.

B. REVIEW AND SELECTION PROCESS

1. Merit Review and Selection Process

A technical merit review panel will carefully evaluate applications against the selection criteria to determine the merit of applications. These criteria are based on the policy goals, priorities, and emphases set forth in this FOA. Up to 100 points may be awarded to an applicant, depending on the quality of the responses provided. The final scores (which may include the mathematical normalization of review panels) will serve as the primary basis for selection of applications for funding. The panel results are advisory in nature and not binding on the Grant Officer. The Grant Officer reserves the right to make selections based solely on the final scores or to take into consideration other relevant factors when applicable. Such factors may include the geographic distribution of funds, representation among SAA and OA States, representation among targeted industries and occupations, and other relevant factors. The Grant Officer may consider any information that comes to their attention.

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

The Merit Review and Selection Process applies only to applications for the Competitive Funding.

2. Risk Review Process

Prior to making an award, ETA will review and consider any information about the applicant that is in the responsibility/qualification records available in SAM.gov (see 41 U.S.C. 2313). Applicants may review and comment on any information in the responsibility/qualification records available in SAM.gov. Before making decisions in the risk review required by 2 CFR 200.206 and 2 CFR 2900.5, ETA will consider any comments by the applicant, along with information available in the responsibility/qualification records in SAM.gov. Additionally, ETA will comply with the requirements of 2 CFR Part 180, implemented at 2 CFR Part 2998 (Non-procurement Debarment and Suspension). This risk evaluation may incorporate results of the evaluation of the applicant's eligibility (application screening) or the quality of its application (merit review). If ETA determines that an award will be made, special conditions that correspond to the degree of risk assessed may be applied to the award. Criteria to be evaluated include the following:

- i. Financial stability. The applicant's record of effectively managing financial risks, assets, and resources;
- ii. Management systems and standards. Quality of management systems and ability to meet the management standards prescribed in the Uniform Grant Guidance;
- iii. History of performance. The applicant's record of managing previous and current Federal awards, including compliance with reporting requirements and conformance to the terms and conditions of Federal awards, if applicable ;
- iv. Reports and findings from audits performed under Subpart F–Audit Requirements of

the Uniform Grant Guidance or the reports and findings of any other available audits and monitoring reports containing findings, issues of non-compliance, or questioned costs;
v. Ability to effectively implement requirements. The applicant's ability to effectively implement statutory, regulatory, and other requirements imposed on recipients.

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

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

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

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

<p align="center">U.S. DEPARTMENT OF LABOR -EMPLOYMENT AND TRAINING ADMINISTRATION (ETA) FUNDING OPPORTUNITY ANNOUNCEMENT: FINANCIAL SYSTEM RISK ASSESSMENT</p>		
	<p align="center">SECTION A: PURPOSE</p>	
<p>The financial responsibility of grantees must be such that the grantee can properly discharge the public trust which accompanies the authority to expend public funds. Adequate administrative and financial systems including the accounting systems should meet the following criteria as contained in 2 CFR 200 and 2 CFR 2900.</p> <p>(1) Accounting records should provide information needed to adequately identify the receipt of funds under each grant awarded and the expenditure of funds for each grant.</p> <p>(2) Entries in accounting records should refer to subsidiary records and/or documentation which support the entry and which can be readily located.</p> <p>(3) The accounting system should provide accurate and current financial reporting information.</p> <p>(4) The accounting system should be integrated with an adequate system of internal controls to safeguard the funds and assets covered, check the accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence to prescribed management policies.</p>		
	<p align="center">SECTION B: GENERAL</p>	
<p>1. Applicant Legal Name (as it appears in SAM.gov):</p>		

<p align="center">U.S. DEPARTMENT OF LABOR -EMPLOYMENT AND TRAINING ADMINISTRATION (ETA)</p> <p align="center">FUNDING OPPORTUNITY ANNOUNCEMENT: FINANCIAL SYSTEM RISK ASSESSMENT</p>			
a. When was the organization founded/incorporated (<i>month, day, year</i>):		b. Principal Officers Names, Title, Email Address President/Chair Board of Directors: Chief Executive Officer: Chief Financial Officer: Accounting/Budget Officer:	
c. Employer Identification Number:			
d. Number of Employees Full Time: Part Time:			
2. Is the organization or institution affiliated with any other organization: Yes No If yes, please provide details as to the nature of the company (for profit, nonprofit, LLC, etc) and if it provides services or products to the organization in relation to this grant.			3. Total Sales/Revenues in most recent accounting period. (<i>12 months</i>) \$
		SECTION C: ACCOUNTING SYSTEM	
<i>NOTE: Provide a detailed response (on a separate page on your organization's letterhead and signed/dated by a Principal Officer) for any items 2-9 of Section C that have "No" or "Not Sure" answer(s), providing enough information to clearly reflect the expertise of the organization in these areas.</i>			
1. Has any Government Agency rendered an official written opinion concerning the adequacy of the accounting system for the collection, identification and allocation of costs under Federal contracts/grants? Yes No			
a. If yes, provide name, and address of Agency performing review:		b. Attach a copy of the latest review and any subsequent correspondence, clearance documents, etc.	
2. Which of the following best describes the accounting system:		State administered	Internally Developed Web-based
3. Does the accounting system identify the receipt and expenditure of program funds separately for each contract/grant?			Yes No Not Sure
4. Does the accounting system provide for the recording of expenditures for each grant/contract by the component project and budget cost categories shown in the approved budget?			Yes No Not Sure
5. Are time distribution records maintained for an employee when his/her effort can be specifically identified to a particular cost objective?			Yes No Not Sure
6. If the organization proposes an overhead rate, does the accounting system provide for the segregation of direct and indirect expenses?			Yes No Not Sure

<p align="center">U.S. DEPARTMENT OF LABOR -EMPLOYMENT AND TRAINING ADMINISTRATION (ETA)</p> <p align="center">FUNDING OPPORTUNITY ANNOUNCEMENT: FINANCIAL SYSTEM RISK ASSESSMENT</p>		
<p>7. Does the organization have an approved indirect cost rate or cost allocation plan?</p> <p>If so, who approved it (Federal Cognizant Agency or a Pass-through Entity)? What are the effective dates?</p>		<p>Yes No Not Sure</p>
<p>8. Does the accounting/financial system include budgetary controls to preclude incurring obligations in excess of:</p> <p>a. Total funds available for a grant?</p> <p>b. Total funds available for a budget cost category (e.g. Personnel, Travel, etc)?</p>		<p>Yes No Not Sure</p> <p>Yes No Not Sure</p>
<p>9. Does the organization or institution have an internal control structure that would provide reasonable assurance that the grant funds, assets, and systems are safeguarded?</p>		<p>Yes No Not Sure</p>
<p align="center">SECTION D: FINANCIAL STABILITY</p>		
<p>1. Is there any legal matter or an ongoing financial concern that may impact the organization's ability to manage and administer the grant? Yes No</p> <p>If yes, please explain briefly.</p>		
<p align="center">SECTION E: FINANCIAL STATEMENTS</p>		
<p>1. Did an independent certified public accountant (CPA) ever examine the financial statements? Yes No</p>		
<p>2. If an independent CPA review was performed please attach a copy of their latest report and any management letters issued. Enclosed N / A</p>		
<p>3. If an independent CPA was engaged to perform a review and no report was issued, please provide details and an explanation below:</p> 		
<p align="center">SECTION F: PAYMENT MANAGEMENT SYSTEM ACCOUNT</p>		

U.S. DEPARTMENT OF LABOR -EMPLOYMENT AND TRAINING ADMINISTRATION
(ETA)

**FUNDING OPPORTUNITY ANNOUNCEMENT: FINANCIAL SYSTEM RISK
ASSESSMENT**

1. ETA uses the Department of Health and Human Services Payment Management System (PMS). If your organization has an ETA PMS account, provide the PMS EIN and the PMS account (e.g., 89X7X) where grant funding should be placed if selected for award.

**SECTION G:
ADDITIONAL
INFORMATION**

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

VI. AWARD ADMINISTRATION INFORMATION

A. AWARD NOTICES

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

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

B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

1. Administrative Program Requirements

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

- i. Non-Profit Organizations, Educational Institutions, For-profit entities and State, Local, and Indian Tribal Governments—2 CFR Part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards) and 2 CFR Part 2900 (DOL’s Supplement to 2 CFR Part 200)
- ii. All entities must comply with 29 CFR Part 93 (New Restrictions on Lobbying), 29 CFR Part 94 (Governmentwide Requirements for Drug-Free Workplace (Financial Assistance)), 2 CFR Part 180 (OMB Guidance to Agencies on Government-wide Debarment and Suspension (Non-procurement)), and, where applicable, 2 CFR Part 200 (Audit Requirements).
- iii. 29 CFR Part 2, subpart D—Equal Treatment in Department of Labor Programs for Faith-Based and Community Organizations; Protection of Religious Liberty of Department of Labor Social Service Providers and Beneficiaries.
- iv. 29 CFR Part 31—Nondiscrimination in Federally Assisted Programs of the Department of Labor—Effectuation of Title VI of the Civil Rights Act of 1964.
- v. 29 CFR Part 32—Nondiscrimination on the Basis of Handicap in Programs or Activities Receiving Federal Financial Assistance.
- vi. 29 CFR Part 35—Nondiscrimination on the Basis of Age in Programs or Activities Receiving Federal Financial Assistance from the Department of Labor.
- vii. 29 CFR Part 36—Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance.
- viii. 29 CFR Part 38 – Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Innovation and Opportunity Act.
- ix. 29 CFR Parts 29 and 30—Labor Standards for the Registration of Apprenticeship Programs, and Equal Employment Opportunity in Apprenticeship and Training, as applicable.
- x. The Department of Labor will follow the procedures outlined in the Department’s Freedom of Information Act (FOIA) regulations (29 CFR Part 70). If DOL receives a FOIA request for your application, the procedures in DOL’s FOIA regulations for responding to requests for commercial/business information submitted to the government will be followed, as well as all FOIA exemptions and procedures. See generally 5 U.S.C. § 552; 29 CFR Part 70.
- xi. Standard Grant Terms and Conditions of Award—see the following link:
<https://www.dol.gov/agencies/eta/grants/resources>.

2. Other Legal Requirements

a. Religious Activities

(i) Faith-based organizations may apply for this award on the same basis as any other organization, subject to the protections and requirements of this subpart and any applicable constitutional and statutory requirements, including [42 U.S.C. 2000bb et seq.](#) DOL will not, in the selection of recipients, discriminate for or against an organization on the basis of the organization's religious character, motives, or affiliation, or lack thereof, or on the basis of conduct that would not be considered grounds to favor or disfavor a similarly situated secular organization.

(ii) A faith-based organization that participates in this program will retain its independence from the Government and may continue to carry out its mission consistent with religious freedom and conscience protections in Federal law.

(iii) A faith-based organization may not use direct Federal financial assistance to support or engage in any explicitly religious activities except where consistent with the Establishment Clause of the First Amendment and any other applicable requirements. An organization receiving Federal financial assistance also may not, in providing services funded by DOL, or in conducting outreach activities related to such services, discriminate against a program beneficiary or prospective program beneficiary on the basis of religion, a religious belief, a refusal to hold a religious belief, or a refusal to attend or participate in a religious practice.

Guidance from DOL on the effect of the Religious Freedom Restoration Act on recipients of DOL financial assistance is found at <https://www.dol.gov/agencies/oasam/grants/religious-freedom-restoration-act/guidance>.

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 Part 200.450 for more information).

c. Transparency Act Requirements

You must ensure that you have the necessary processes and systems in place to comply with the reporting requirements of the Federal Funding Accountability and Transparency Act of 2006 (Pub. Law 109-282, as amended by the Digital Accountability and Transparency Act of 2014 (Pub. Law 113-101), as follows.

- Except for those excepted from the Transparency Act under sub-paragraphs 1, 2, and 3 below, you must ensure that you have the necessary processes and systems in place to comply with the subaward and executive total compensation reporting requirements of the Transparency Act, should you receive funding.
- Upon award, you will receive detailed information on the reporting requirements of the Transparency Act, as described in 2 CFR Part 170, Appendix A, which can be found at <https://www.govinfo.gov/content/pkg/CFR-2021-title2-vol1/pdf/CFR-2021-title2-vol1-part170-appA.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 (e.g., unrelated to any business or non-profit organization an individual owns or operates);
2. Federal awards to entities that had a gross income 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 39-11](#) (issued June 28, 2012). All such activity conducted by ETA and/or recipient(s) will be performed in a manner consistent with applicable state and federal laws.

By submitting a grant application, you agree to take all necessary steps to protect such confidentiality by complying with the following provisions that are applicable in governing the handling of confidential information: You must ensure that PII and sensitive data developed, obtained, or otherwise associated with DOL/ETA funded grants is securely transmitted.

- i. 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.
- ii. 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 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.
- iii. 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.
- iv. 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.
- v. 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.

- vi. 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.
- vii. You must not extract information from data supplied by ETA for any purpose not stated in the grant agreement.
- viii. 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.
- ix. All PII data must be processed in a manner that will protect the confidentiality of the records/documents and is designed to prevent unauthorized persons from retrieving such records by computer, remote terminal, or any other means. Data may be downloaded to, or maintained on, mobile or portable devices only if the data are encrypted using NIST validated software products based on FIPS 140-2 encryption. In addition, wage data may be accessed only from secure locations.
- x. 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.
- xi. 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.
- xii. You must retain data received from ETA only for the period of time required to use it for assessment and other purposes, or to satisfy applicable federal records retention requirements, if any. Thereafter, you agree that all data will be destroyed, including the degaussing of magnetic tape files and deletion of electronic data.

e. Record Retention

You must follow federal guidelines on record retention, which require that you maintain all records pertaining to grant activities for a period of at least three years from the date of submission of the final expenditure report. See 2 CFR 200.334-200.338 for more specific information, including information about the start of the record retention period for awards that are renewed quarterly or annually, and when the records must be retained for more than three years.

f. Use of Contracts and Subawards

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

Contract: Contract means a legal instrument by which a recipient or subrecipient conducts procurement transactions under a Federal award. For additional information on subrecipient and contractor determinations, see 2 CFR 200.331. The term as used in this FOA does not include a legal instrument, when the substance of the transaction meets the definition of a

federal award or subaward, even if the recipient or subrecipient considers it a contract (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 to a subrecipient for the subrecipient to contribute to the goals and objectives of the project by carrying out part of a Federal award received by the pass-through entity. It does not include payments to a contractor, beneficiary, or participant. A subaward may be provided through any form of legal agreement consistent with criteria in with [§ 200.331](#), including an agreement the pass-through entity considers a contract.

Subrecipient: Subrecipient means an entity that receives a subaward from a pass-through entity to carry out part of a Federal award. The term subrecipient does not include a beneficiary or participant. A subrecipient may also be a recipient of other Federal awards directly from a Federal agency .

You must follow the provisions at 2 CFR 200.331-200.333 regarding subrecipient monitoring and management. Also see 2 CFR Part 200.308(f)(6) regarding prior approval requirements for subawards. When awarding subawards, you are required to comply with provisions on government-wide suspension and debarment found at 2 CFR Part 180 and codified at 2 Part CFR Part 2998.

g. Closeout of Grant Award

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

3. Other Administrative Standards and Provisions

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

4. Special Program Requirements

a. ETA Evaluation

As a condition of grant award, grantees are required to participate in an evaluation, if undertaken by DOL. The evaluation may include an implementation assessment across grantees, an impact and/or outcomes analysis of all or selected sites within or across grantees, and a benefit/cost analysis or assessment of return on investment. Conducting an impact analysis could involve random assignment (which involves random assignment of eligible participants into a treatment group that would receive program services or enhanced program services, or into control group(s) that would receive no program services or program

services that are not enhanced). We may require applicants to collect data elements to aid the evaluation. As a part of the evaluation, as a condition of award, grantees must agree to: (1) make records available to the evaluation contractor on participants, employers, and funding; (2) provide access to program operating personnel, participants, and operational and financial records, and any other relevant documents to calculate program costs and benefits; and (3) in the case of an impact analysis, facilitate the assignment by lottery of participants to program services, including the possible increased recruitment of potential participants; and (4) follow evaluation procedures as specified by the evaluation contractor under the direction of DOL.

b. Performance Goals

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

C. REPORTING

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

1. Quarterly Financial Reports

A Quarterly Financial Status Report (ETA 9130) is required until such time as all funds have been expended or the grant period has expired. Quarterly reports are due by the 15th day of the second month after each calendar-year quarter. On the final Financial Status Report, you must include any subaward amounts so we can calculate final indirect costs, if applicable. You must use DOL's Online Electronic Reporting System and information and instructions will be provided to grantees. For other guidance on ETA's financial reporting, reference TEGL 20-19 and our webpage at <https://www.dol.gov/agencies/eta/grants/management/reporting>.

2. Quarterly Performance Reports

The grantee must submit a quarterly performance report by the 15th day of the second month after each calendar-year quarter. The report must include quarterly information on interim indicators and performance goals. 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 performance. Submission requirements will be provided to grantees upon award. We will also provide you with guidance about the data and other information that is required to be collected and reported on either a regular basis or special request basis.

3. Quarterly Narrative Performance Reports

In addition to the Quarterly Performance Report, the grantee must submit the Joint Quarterly Narrative Performance Report Template (ETA 9179) progress report by the 15th day of the second month after each calendar year quarter during which the grant is within the period of performance for the award. The report includes quarterly information regarding accomplishments, including project success stories, upcoming grant activities, and promising approaches and processes, as well as progress toward performance outcomes, including updates on product, curricula, and training development.

VII. AGENCY CONTACTS

For further information about this FOA, please contact Cynthia Thurlow, Grants Management Specialist, Office of Grants Management, at SAEF3_FOA-ETA-25-31@dol.gov. Applicants should e-mail all technical questions to SAEF3_FOA-ETA-25-31@dol.gov and must specifically reference FOA-ETA-25-31, and along with question(s), include a contact name, and phone number. This Announcement is available on the ETA website at <https://www.dol.gov/agencies/eta/grants> and at <https://www.grants.gov>.

VIII. OTHER INFORMATION

A. WEB-BASED RESOURCES

DOL maintains a number of web-based resources that may be of assistance to applicants. These include the CareerOneStop portal (<https://www.careeronestop.org>), which provides national and state career information on occupations; the Service Locator function within the CareerOneStop webpage which provides a directory of the nation's American Job Centers, also known as one-stop centers, (<https://www.careeronestop.org/LocalHelp/service-locator.aspx>); and the Occupational Information Network (O*NET) Online (<https://online.onetcenter.org>), which provides occupational competency profiles.

B. INDUSTRY COMPETENCY MODELS AND CAREER CLUSTERS

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

C. WORKFORCEGPS RESOURCES

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

We encourage you to view the online tutorials, “Grant Applications 101: A Plain English Guide to ETA Competitive Grants,” and “Grants Application 101: Budgetary Forms - SF-424, 424A, 424B, and Budget Narrative” available through WorkforceGPS at <https://grantsapplicationandmanagement.workforcegps.org/resources/2022/05/10/15/23/How-to-Apply-for-a-Grant>.

We created Workforce System Strategies to make it easier for the public workforce system and its partners to identify effective strategies and support improved customer outcomes. The collection highlights strategies informed by a wide range of evidence, such as experimental

studies and implementation evaluations, as well as supporting resources, such as toolkits. We encourage you to review these resources by visiting <https://strategies.workforcegps.org>.

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

D. SKILLSCOMMONS RESOURCES

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

E. REGISTERED APPRENTICESHIP RESOURCES

The OA encourages you to visit Apprenticeship.gov. Among the many beneficial resources that are offered on Apprenticeship.gov, below are a few of the most helpful for States:

Legislation, Regulations, and Guidance - All OA related bulletins, Circulars, TENs, and TEGs are located here: (<https://www.apprenticeship.gov/about-us/legislation-regulations-guidance>)

IX. OMB INFORMATION COLLECTION

OMB Information Collection No 1225-0086, Expires July 31, 2025.

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

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

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

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

Signed 01/16/2025 in Washington, D.C. by:
Brinda Ruggles
Grant Officer, Employment and Training Administration

APPENDIX A BASE FORMULA FUNDING

In addition to the applicable required documents listed under III.C.1 Application Screening Criteria, all applicants must provide in their Base Formula Funding application, a project narrative in response to Appendix A, with no minimum page limit:

1. A description of the activities you intend to implement,
2. A description of your efforts in the communities you intend to reach;
3. Your success benchmarks and measures from SAEF1 and/or SAEF2, if applicable, and the status of those benchmarks and measures;
4. The specific population(s) you intend to impact; and
5. The names of the organizations with whom you will form partnerships.

Your project narrative should detail your plan to expand Registered Apprenticeship, pre-apprenticeships leading to RAP enrollment, and/or developing strategies to align or incorporate Career and Technical Education (CTE) programs with RAPs, in your State. Please ensure that your Abstract and Project Narrative clearly address the guidelines and required activities in this section. The Department reserves the right to change the Base Formula Funding amount depending on the quantity and quality of applications submitted. The Base Formula Funding has a Period of Performance (POP) of three years. Subject to available funds, the Department is committed to awarding annual Base Formula Funding (to be incrementally funded over the next three years, based on a formula). Continuation of 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.

The applicant must explain how they will expend any remaining SAEF1 and/or SAEF2 grant program funds, if applicable, and SAEF3 to meet their project goals.

All grantees must do the following, at a minimum, as allowable activities under this Base Formula Funding:

1. Develop and implement a work plan. The plan must include a detailed description of activities the applicant plans to initiate, charting out quarterly milestones for the 36-month POP. The plan must include key expansion efforts and how funds will be spent down. Applicants will assess and revise, as necessary, their work plan in future rounds of funding for this grant, along with updated Budget Narrative, and SF424A. A suggested template of the work plan can be found in Appendix E.
 1. The plan must show how funds will build on modernization and expansion efforts. States must take into consideration how they are growing the number of registered apprentices and registered apprenticeship programs in their State, how

they are reaching underrepresented populations and underserved communities, how they can improve/streamline their internal Statewide registered apprenticeship processes (if applicable), how they can better utilize demographic and occupational data for informed decision-making, how they are promoting job quality characterized by elements such as offering career progression into family sustaining higher wages and benefits that offer economic security and mobility, and how the State can leverage technology and resources. Based on that plan and in addition to the required activities, States should select activities from the "Encouraged Activities" list that will further their mission.

2. As part of the work plan, States must sufficiently show how they will spend down their Apprenticeship grants concurrently. States must provide a list of their current OA grants, the amount(s) awarded, amount(s) unspent, and how remaining amounts will be expended while also expending the Base Formula Funding of this grant.
 3. Build Statewide capacity to increase the number and quality of RAPs through stronger workforce system alignment. For the purposes of this FOA, workforce system alignment refers to the alignment of the workforce, education, and the National Apprenticeship System. System alignment should also focus on RAP and/or pre-apprenticeship program efforts in support of implementation and/or targeting industries and occupations in which the Administration is particularly interested in as mentioned in the Executive Summary.
2. For States with recognized SAAs, implement data sharing, system change, and governance requirements to comply with 29 CFR Parts 29 and 30 and ensure a strong and modernized Registered Apprenticeship system by promoting the standardization of RAPs and committing to building a unified National Apprenticeship system. This includes the sharing of data and ensuring that quality programs are registered within the State and align with the five key areas of RAPs: OJL, RI, progressive wages, mentoring, and industry-recognized credential attainment to ensure reciprocity across the National Apprenticeship system.
 3. Utilize funding to support drafting of policies, procedures, and/or State regulations to strengthen the Registered Apprenticeship system.
 4. Create or improve outreach materials and communication strategies for engaging employers, parents, educators, underrepresented populations, other critical stakeholders, and State residents; explaining the benefits of registered apprenticeship; and generating further support across the State.

Encouraged activities include:

1. Increase apprenticeship staff to support the State's required activities and proposed encouraged activities, if applicable. This includes training for grantee staff, as well as other State and local workforce board staff, related to the Registered Apprenticeship system.
2. Build stronger partnerships with the State and local workforce and education system. This can include working with employers to increase their awareness of Registered Apprenticeship opportunities in the State and identify opportunities for them to join existing RAPs and/or start new RAP.

3. Improve data collection, data sharing, and data integrity; and if applicable, purchase software upgrades that directly support these improvements.
4. For States with recognized SAAs, work to build reciprocity between SAAs to better ensure journey-worker credentials earned through RAPs are portable nationwide following the regulation at 29 C.F.R. § 29.13(7) that stipulates SAAs are to “accord reciprocal approval for Federal purposes to apprentices, apprenticeship programs and standards that are registered in other States by the Office of Apprenticeship or a Registration Agency if such reciprocity is requested by the apprenticeship program sponsor.”
5. Training for grant staff related to Registered Apprenticeship.
6. Establish or expand the role of the business service representative or apprenticeship navigator with the promotion of registered apprenticeship.
7. Build Statewide capacity by hiring additional staff, including FTEs, and contractors and consultants, if necessary.
8. Improve employer engagement to increase RAP adoption for in-demand industries and occupations within the State.
9. Improve and/or develop marketing and advertising materials for RAPs (i.e., produce RAP public service announcements that are targeted to traditional and non-traditional industries and occupations within the State, such as education sector, hospitality, care economy (Healthcare, Childcare, etc.), technology/cybersecurity, public sector, occupations in the Supply Chain sector (logistics, warehouse, transportation, infrastructure, goods movement sectors such as global logistics, rail and other freight-related employment, and manufacturing, including but not limited to the manufacturing of semi-conductors, biomanufacturing), Advanced manufacturing (collaborative robotics and additive manufacturing), utilities sector (Water and Wastewater System Operations Specialists and energy occupations), resource management, first responder; disaster resilience, response, and recovery; and other emerging and nontraditional sectors and industries.
10. Invest in targeted social media or contribute printed materials to accelerator events in the State. An apprenticeship accelerator event is a gathering of stakeholders in an apprenticeship industry to discuss how to use Registered Apprenticeship programs to help businesses meet their workforce needs. These events often include information about the requirements for starting or joining a program, funding opportunities, and Registered Apprenticeship models.
11. Travel within the State for meetings, such as conferences, industry sector meetings, convening's, accelerator groups, and Local Workforce Investments Boards (WIBs) directly related to expanding Registered Apprenticeship. For travel outside the State, which includes meetings held by the National Office of Apprenticeship, prior approval from the grantee's FPO is required.
12. Collaborate or increase collaboration with other State grantees, including sharing and discussing promising practices, engaging with other States to expand RAPs within their State and the National Apprenticeship system, and work with other States to benefit the National Apprenticeship system.
13. Collaborate with other local, State, or federal agencies in education and workforce outside the State's apprenticeship office, including to expand RAP in the public sector.

14. Create course curriculum that can be used by education providers to provide college or transferable education credits to registered apprentices.

APPENDIX B BASE FORMULAS FUNDING AMOUNTS

ETA will award as much as \$50,000,000 overall to States reflecting the formula described below. States may apply for an amount up to the Base Funding amount determined by the formula described below. For those territories that have less than 100 active registered apprentices may only apply for the base funding of up to \$75,000.

The funding for States that have 100 or more registered apprentices is allocated by the following formula:

- 1/3 as a minimum allotment to all 54 eligible States
- 2/3 allocated as follows:
 - Fifty percent is based on each State's relative share of Total Registered Apprentices (FY 2024 Apprentice Data ending 9/30/24);
 - Fifty percent is based on:
 1. 33 percent of each State's relative share of total job openings within Bureau of Labor Statistics designated Region (most recent seasonally adjusted report for 2024, that is September 30, 2024);
 2. 33 percent of each State's relative share of total unemployed (LAUS totals, July 2023–June 2024);
 3. 33 percent of each State's relative Civilian Share of Total Workforce (LAUS totals, July 2023–June 2024).

State	Base Funding Allotments
Alabama	\$669,916.00
Alaska	\$423,872.00
American Samoa	\$311,892.00
Arizona	\$920,467.00
Arkansas	\$786,252.00
California	\$4,680,790.00
Colorado	\$856,474.00
The Commonwealth of the Northern Mariana Islands	\$75,000.00
Connecticut	\$705,019.00
Delaware	\$418,450.00
District of Columbia	\$390,598.00
Florida	\$1,796,815.00
Georgia	\$1,100,109.00
Guam	\$330,482.00
Hawaii	\$556,981.00

Idaho	\$485,605.00
Illinois	\$1,665,343.00
Indiana	\$1,281,731.00
Iowa	\$766,805.00
Kansas	\$543,717.00
Kentucky	\$741,890.00
Louisiana	\$653,593.00
Maine	\$420,202.00
Maryland	\$1,069,642.00
Massachusetts	\$1,008,986.00
Michigan	\$1,475,943.00
Minnesota	\$979,062.00
Mississippi	\$532,030.00
Missouri	\$1,337,414.00
Montana	\$447,029.00
Nebraska	\$492,392.00
Nevada	\$695,737.00
New Hampshire	\$482,658.00
New Jersey	\$1,118,059.00
New Mexico	\$506,824.00
New York	\$1,920,269.00
North Carolina	\$1,158,891.00
North Dakota	\$399,249.00
Ohio	\$1,640,376.00
Oklahoma	\$590,719.00
Oregon	\$864,103.00
Pennsylvania	\$1,417,575.00
Puerto Rico	\$441,721.00
Rhode Island	\$444,939.00
South Carolina	\$771,633.00
South Dakota	\$397,630.00
Tennessee	\$939,312.00
Texas	\$2,817,802.00
The U.S. Virgin Islands	\$75,000.00

Utah	\$629,467.00
Vermont	\$395,708.00
Virginia	\$1,129,005.00
Washington	\$1,355,532.00
West Virginia	\$515,521.00
Wisconsin	\$1,015,406.00
Wyoming	\$352,363.00
Total	\$50,000,000.00

APPENDIX C SUGGESTED ABSTRACT TEMPLATE

Applicants must submit one abstract for the Base Formula Funding option, and, if applicable, one abstract for the Competitive Funding option. Applicants must complete and submit the appropriate Abstract(s) for their application. Please make note of the Application Type in each Abstract before completing.

State Apprenticeship Expansion Formula, Round 3 (SAEF3) Funding Opportunity Abstract	
Lead Applicant / Organization Name:	
Lead Applicant Entity Type:	
Lead Applicant City and State:	
Application Type: <i>(Base Formula Funding or Competitive Funding)</i>	
Project Title:	
Total Funding Amount Requested: Base Funding: Competitive, if applicable:	
Total Number of apprentices enrolled in RAPs during the life of the grant, if applicable:	
Population(s) to be Served:	
List the name of the Required Partner <i>(for States with federally-recognized SAAs):</i>	
List the name(s) of Optional Partners , as applicable:	
<i>Insert name(s)</i>	<i>Insert type of organization</i>
<i>[add additional lines as needed]</i>	
Targeted Industry(ies) and/or Occupation(s):	

Summary of program activities :
Subrecipient Roles: List all subrecipients and the roles(activities) they will fill on the proposed project. Roles should be aligned to proposed work Plan.
List of credential(s) to be awarded:
Public Contact Information Name: Title: Address: Phone Number:

APPENDIX D SUGGESTED PERFORMANCE OUTCOMES AND OUTPUTS TABLE

Applicants applying for the Competitive Funding option must submit targets for their grant project measures. Applicants must provide proposed total target numbers for the grant period of performance. Applicants must present their information in a performance measure table that includes outcomes and outputs to be included as an attachment to the Project Narrative. If applicants select activities that do not directly result in Participant Outcomes or Program Outputs, they must propose targets related to their proposed activities.

A SAEF3 Outcomes			
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1	Total participants served Total number of all participants served (receiving a direct grant-funded service through this grant). Participants: individuals determined eligible under the FOA who receive a direct grant-funded service, including those who enter pre-apprenticeships and RAPs.	Year 1: Year 2: Year 3:	Total: <i>Note: total should equal sum of Year 1-3</i>
2	Total participants served and who enter a Registered Apprenticeship Program <i>Individuals who only complete a pre- apprenticeship but do not start a RAP are not counted in this outcome.</i>	Year 1: Year 2: Year 3:	Total:
3	Total participants who complete a Registered Apprenticeship Program	Year 1:	Total:

		Yea r 2: Yea r 3:	
4	Total number of participants who enroll in a pre- apprenticeship (as applicable)	Yea r 1: Yea r 2: Yea r 3:	Total:
5	Total number of participants who complete a pre- apprenticeship (as applicable)	Yea r 1: Yea r 2: Yea r 3:	Total:
6	Total number of individuals enrolled (Reportable Individuals as defined in Section III.C.3) in a RAP that was developed using SAEF3 grant funds (as applicable)	Yea r 1: Yea r 2: Yea r 3:	Total:
7	Total number of individuals enrolled in a pre- apprenticeship that was developed using SAEF3 grant funds (as applicable)	Yea r 1: Yea r 2: Yea r 3:	Total:

B. SAEF3 Outputs			
1	Total RAPs created as a result of SAEF3 grant funding	Year 1: Year 2:	Total :

		Year 3:	
2	Total RAPs expanded as a result of SAEF3 grant funding	Year 1: Year 2: Year 3:	Total :
3	Total pre-apprenticeship programs created as a result of SAEF3 grant funding (as applicable)	Year 1: Year 2: Year 3:	Total :
4	Total pre-apprenticeship programs expanded as a result of SAEF3 grant funding (as applicable)	Year 1: Year 2: Year 3:	Total :

APPENDIX E SUGGESTED WORK PLAN TEMPLATE

Applicants are required to develop and implement a work plan. Applicants are encouraged to align their goals with specific activities (please see Section I.A. Program Design and Section IV.B.3.c. Project Design for Competitive Funding applicants, as applicable) that will meet those goals. Sample activities can include project administration and ramp-up; partnership engagement, outreach, and recruitment; RAP enrollment and training; provision of supportive services; and follow-up tracking of apprentices to collect outcomes. For planning purposes, applicants should, in conjunction with their State workforce agency, outline a strategic vision that demonstrate significant linkages and coordination with the State's economic development strategies and publicly-funded workforce investment system. The State workforce agency should be a part of creating this work plan. Applicants should identify key deliverables and the time frame for achieving each deliverable, including any milestones to indicate progression of activities. Applicants should also provide the name of the lead or supporting institution engaged in each activity or producing each deliverable, including any partner organizations. The intent of the State work plan is to have States strategically think about how they will use subsequent years' funding to build on and improve their current activities, accomplishments, challenges, and goals. Applicants will assess and revise, as necessary, their work plan in future rounds of funding for this grant.

State Workforce Agency	<i>Name the State workforce agency that the applicant worked with to create this work plan</i>
Year # Quarter #	
GOAL #	<i>Insert goal</i>
Activity(ies): <i>Insert activity(ies) (Sample: Project Administration and Ramp-Up)</i>	<i>Insert description(s) (if applicable)</i>
Lead/Support Implementer (s)	<i>Insert lead or supporting organization that will implement proposed activity</i>
Deliverable(s): <i>Insert deliverable(s)</i>	<i>Insert description (if applicable)</i>
Milestones	<i>Insert milestone</i>
Time frame	<i>Insert time frame for deliverable</i> Start: End:
Cost	\$ <i>Insert costs</i>
Year # Quarter #	
GOAL #	<i>Insert goal</i>
Activity(ies): <i>Insert activity(ies)</i>	<i>Insert description(s) (if applicable)</i>
Lead/Support Implementer (s)	<i>Insert lead or supporting organization that will implement proposed activity</i>
Deliverable(s): <i>Insert deliverable(s)</i>	<i>Insert description (if applicable)</i>
Milestones	<i>Insert milestone</i>
Time frame	<i>Insert time frame for deliverable</i> Start: End:
Cost	\$ <i>Insert costs</i>