U.S. DEPARTMENT OF LABOR
Employment and Training Administration

NOTICE OF AVAILABILITY OF FUNDS AND FUNDING OPPORTUNITY ANNOUNCEMENT FOR: **Scaling Apprenticeship Through Sector-Based Strategies**

ANNOUNCEMENT TYPE: *Initial*

FUNDING OPPORTUNITY NUMBER: *FOA-ETA-18-08*

CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER: *17.268*

KEY DATES: *The closing date for receipt of applications under this Announcement is* **October 16, 2018***. We must receive applications no later than* ***4:00:00 p.m. Eastern Time****.*

ADDRESSES: *Address mailed applications to:*

The U.S. Department of Labor
Employment and Training Administration, Office of Grants Management
Attention: Brinda Ruggles, Grant Officer
Reference FOA-ETA-18-08
200 Constitution Avenue, NW, Room N4716
Washington, DC 20210

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

EXECUTIVE SUMMARY

While apprenticeships are a proven pathway to middle- and high-skilled jobs, apprentices comprise only 0.2 percent of the United States labor force, substantially less than in Canada (2.2 percent), Britain (2.7 percent), and Germany (3.7 percent).[1] Some industries with defined career pathways, such as construction and building trades, have embraced apprenticeship's earn-as-you-learn approach, which combines job-related technical

[1]Lerman, Robert, *Expanding Apprenticeship Opportunities in the United States*, p.3 (The Hamilton Project,Brookings, 2014). https://www.brookings.edu/research/expanding-apprenticeship-opportunities-in-the-united-states/

instruction with a structured, paid, work-based learning component. As job growth surges in other key sectors, such as information technology, advanced manufacturing, health care, and financial services, there is increasing interest in those sectors in adopting this approach.

In June 2017, the President issued Executive Order 13801 on Expanding Apprenticeship in America, which lays out an expansive vision for apprenticeship that would increase the number of apprentices in the nation to an unprecedented level across all industries. Noting that apprenticeships "provide affordable paths to good jobs and, ultimately, careers," the Executive Order directs the Federal government to "promot[e] apprenticeships and effective workforce development programs," and encourages trade and industry groups, employers, educational institutions, unions, joint labor-management organizations, and other third parties to collaborate to create new apprenticeship solutions. The Executive Order also directs the Secretary to "use available funding to promote apprenticeships."

There are more than 6.5 million job openings right now in the United States,[2] many of which require a skilled workforce. Expanding apprenticeships can help individuals gain the skills necessary to fill these vacancies and help employers find skilled workers more readily.

The Employment and Training Administration (ETA), U.S. Department of Labor (DOL, or the Department, or we) announces the availability of approximately $150 million in grant funds authorized by Section 414(c) of the American Competitiveness and Workforce Improvement Act of 1998 (ACWIA), as amended (originally codified at 29 USC 2916a and transferred to 29 USC 3224a), for the **Scaling Apprenticeship Through Sector-Based Strategies grant program**. We will award up to $150 million in H-1B funds initially to fund approximately 15 to 30 apprenticeship grants, with awards ranging from $1 million to $12 million. The grant size will depend on the size of the targeted industry sector and the proposed scale of the apprenticeship project. Additional grants may be awarded depending on availability of funds.

The purpose of this grant program is to support sector-based approaches to expanding efforts to develop and implement apprenticeships on a national scale in key industry sectors. The overarching goals of this grant program are threefold: (1) to accelerate the expansion of apprenticeships to new industry sectors reliant on H-1B visas, (2) to promote the large-scale expansion of apprenticeships across the nation, and (3) to increase apprenticeship opportunities for all Americans.

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[2] Bureau of Labor Statistics, Job Openings and Labor Turnover Survey – March 2018. https://www.bls.gov/news.release/jolts.nr0.htm

Scaling Apprenticeships Through Sector-Based Strategies

Recognizing that apprenticeship is a training strategy that operates on both the supply side and the demand side of the labor market, this grant program aims to increase both the number of apprenticeship positions and the ability of all Americans to gain access to this proven pathway to great careers.

On the demand side, the grant seeks to broaden apprenticeship opportunity by:

- Expanding apprenticeships to H-1B industries or occupations that have not typically used apprenticeships to bring new entrants into the workforce—such as information technology, advanced manufacturing, banking and finance, and health care—and to upskill those already employed in these industries to bolster the sector's competitiveness;
- Increasing the level of apprenticeship activity among a range of new employers within these industry sectors, particularly small- and medium-sized businesses; and
- Promoting a sector-based approach to large-scale expansion of apprenticeships that 1) include a paid, work-based learning component and a required educational or instructional component that results in the issuance of an industry-recognized credential and 2) meet appropriate quality assurance standards.

Grant funds will be awarded to institutions of higher education in partnership with national industry associations, which together seek to develop, implement, and take to a national scale a new apprenticeship model; or expand an existing apprenticeship program to a new industry sector or occupation or a new population, on a national scale. To further magnify the reach of this grant program, we are requiring these public-private partnerships to secure matching funds, as described in Section III.B. Cost Sharing or Matching.

Given the source of grant funding, the focus of this Funding Opportunity Announcement (FOA) is on training apprentices to reach middle- to high-skilled jobs along a career pathway in a variety of H-1B industries and occupations. A substantial portion of the grant must therefore fund training, including the development and implementation of academic and work-based training for the apprentices, and the provision of supportive services to help apprentices participate in and successfully complete an apprenticeship program. To meet the goal of training significant numbers of new apprentices, projects funded under this FOA must have the capacity to develop and deploy such training and related services shortly after receiving grant funds.

This grant program will also support an array of activities designed to assist industry in developing and expanding new apprenticeship programs. These activities will include the development of industry-approved, competency-based curricula for both on-the-job and classroom training; and the development of appropriate quality assurance and data systems and processes. Among other benefits, such activities help simplify program development and reduce program start-up times and costs, making it easier for employers

to deploy the programs at scale; and promote program consistency and quality, thus facilitating industry-wide acceptance of the apprenticeship model.

On the supply side, this grant program aims to ensure a sustained, rich pool of talent for apprenticeship programs over the long term. Hence, grant funds will support a variety of efforts to increase access to apprenticeship among all Americans, particularly veterans, military spouses, and transitioning service members, and underrepresented populations in apprenticeship, including women, people of color, and ex-offenders.

TABLE OF CONTENTS

EXECUTIVE SUMMARY **1**
I. FUNDING OPPORTUNITY DESCRIPTION **7**
A. Program Purpose 7
B. Program Authority 9
C. Target Industries 9
D. Geographic Scope 10
E. Program Activities/Allowable Activities 11
II. AWARD INFORMATION **18**
A. Award Type and Amount 18
B. Period of Performance 19
III. ELIGIBILITY INFORMATION **20**
A. Eligible Applicants 20
B. Cost Sharing or Matching 23
C. Other Information 25
IV. APPLICATION AND SUBMISSION INFORMATION **28**
A. How to Obtain an Application Package 28
B. Content and Form of Application Submission 28
C. Submission Date, Time, Process and Address 44
D. Intergovernmental Review 48
E. Funding Restrictions 48
F. Other Submission Requirements 53
V. APPLICATION REVIEW INFORMATION **54**
A. Criteria 54
B. Review and Selection Process 55
VI. AWARD ADMINISTRATION INFORMATION **58**
A. Award Notices 58
B. Administrative and National Policy Requirements 58
C. Reporting 64
VII. AGENCY CONTACTS **65**
VIII. OTHER INFORMATION **65**
A. Web-Based Resources 65
B. Apprenticeship Resources 66
C. Industry Competency Models and Career Clusters 66
D. SkillsCommons Resources 66
E. WorkforceGPS Resources 66
IX. OMB INFORMATION COLLECTION **67**

APPENDIX A: LIST OF H-1B INDUSTRIES....69
APPENDIX B: PRE-APPRENTICESHIP TRAINING RESOURCES....70
APPENDIX C: OPEN EDUCATIONAL RESOURCES (OER)....71
APPENDIX D: NATIONAL OCCUPATIONAL FRAMEWORKS....73
APPENDIX E: SUGGESTED PERFORMANCE OUTCOME MEASURES TABLE....74
APPENDIX F: SUGGESTED PROJECT WORK PLAN FORMAT....76
APPENDIX G: SUGGESTED ABSTRACT FORMAT....77

I. FUNDING OPPORTUNITY DESCRIPTION

A. PROGRAM PURPOSE

This Announcement solicits applications for the Scaling Apprenticeship Through Sector-Based Strategies grant program. The purpose of this program is to support sector-based approaches to expanding efforts to develop and implement apprenticeships at scale in key industry sectors. In June 2017, the President issued Executive Order 13801 on Expanding Apprenticeship in America, which lays out an expansive vision for apprenticeship that would increase the number of apprentices in the nation to an unprecedented level across all industries. The overarching goals of this grant program are threefold: (1) to accelerate the expansion of apprenticeships to new industry sectors reliant on H-1B visas, (2) to promote the large-scale expansion of apprenticeships across the nation, and (3) to increase apprenticeship opportunities for all Americans.

Research suggests that employers in the U.S. find value in apprenticeships. In one comprehensive study, nearly all employers surveyed reported that they would recommend their program to others, citing as key benefits the program's ability to help them meet their demand for skilled workers, demonstrate which workers have the needed skill sets, raise productivity and morale, and reduce safety issues.[3] Moreover, apprenticeships offer a solid return on investment for everyone involved, including the nation as a whole. A 2012 evaluation of 10 states found that, for every dollar invested in apprenticeships, there were $27 in net benefits and $35 in total benefits to the public.[4] We believe that the magnitude of such returns justifies expanding this earn-as-you-learn approach across sectors, including manufacturing, transportation, information technology, health care, and the skilled trades.

Accordingly, this grant program supports the expansion of apprenticeships to industries that have not typically used this model to recruit new apprentices into the workforce, and to upskill those already employed in the industry to bolster the sector's competitiveness. Given the funding source, the industries and occupations that can be targeted with this

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[3] Lerman, Robert, et al., *The Benefits and Challenges of Registered Apprenticeship: The Sponsors' Perspective,"* p. 16 (The Urban Institute Center on Labor, Human Services, and Population, 2009). http://webarchive.urban.org/UploadedPDF/411907_registered_apprenticeship.pdf

[4] Reed, Debbie, et al., *An Effectiveness Assessment and Cost-Benefit Analysis of Registered Apprenticeship in 10 States*, p. 40 (Mathematica Policy Research, 2012). http://wdr.doleta.gov/research/FullText_Documents/ETAOP_2012_10.pdf. See also Helper, Susan, et al., *The Benefits and Costs of Apprenticeships: A Business Perspective* (Case Western Reserve University and the U.S. Department of Commerce, 2016). https://www.esa.gov/sites/default/files/the-benefits-and-costs-of-apprenticeships-a-business-perspective.pdf

funding are those for which employers are using H-1B visas to hire foreign workers, such as information technology (IT) and IT-related industries, health care, advanced manufacturing, financial services, and educational services. In addition, these grants seek to increase the level of apprenticeship activity among employers within these industry sectors that have not traditionally implemented apprenticeship programs, particularly small- and medium-sized businesses. We believe that investing this funding in taking apprenticeships to scale within these additional industry sectors and across the range of business types and sizes will have multiplier effects on private sector spending in apprenticeships and in establishing apprenticeship systems as alternative pathways for transitioning workers and for those entering the workforce.

To further stimulate industry demand for apprenticeship, the grant will promote a sector-based approach to large-scale expansion of apprenticeships. As described in Executive Order 13801 on Expanding Apprenticeships in America, apprenticeships can provide opportunities for industry to lead in advancing and promoting quality apprenticeship opportunities in industries where they are not currently widespread. Moreover, apprenticeship programs that 1) include a paid, work-based learning component and a required educational or instructional component that results in the issuance of an industry-recognized credential, and 2) meet appropriate quality assurance standards can go a long way toward filling our national skills gap.

To promote new, high-quality apprenticeship programs and the expansion of existing apprenticeship programs, this grant program will award grant funds to institutions of higher education in partnership with national industry associations, which together seek to develop, implement, and scale a new apprenticeship model or to expand an existing apprenticeship program to a new industry sector, new population, or on a national scale. These public-private partnerships (as described in Section III.A. Eligible Applicants) will boost apprenticeships by undertaking two major types of interrelated activity: training apprentices and taking apprenticeship programs to scale.

Grant funds must be used primarily to support the training of thousands of apprentices in new or expanded programs. Allowable training and training-related activities include the academic and work-based training itself, and may also include supportive services, such as childcare and transportation, designed to assist apprentices to participate and remain in an apprenticeship program.

A related activity necessary to support the expansion of training for apprentices is assisting partners in their efforts to create and scale the new or expanded apprenticeship programs, which is another critical component of the work under this grant program. Grantees may establish new apprenticeship programs, create the training infrastructure/network necessary to deploy these programs, expand existing apprenticeships, and promote all grant-funded apprenticeship programs on a national scale. Key activities that will help partners take apprenticeship programs to scale may include the development of industry-approved, competency-based curricula for both on-the-job and classroom training; the creation of competency-based occupational standards for a particular industry sector, including industry-issued, nationally recognized, portable credentials related to the applicant's targeted industry and/or occupation(s) (hereinafter

"industry-recognized credentials" and described further in Section I.E. Program Activities/Allowable Activities)[5]; the development of appropriate quality assurance and data systems and processes to ensure the consistency and quality of the new apprenticeship programs; and outreach to a range of small- and medium-sized businesses to expand apprenticeship broadly within a given industry sector.

In light of the potential of sector-based approaches to enlarge the field of apprenticeship sponsors, we intend for this grant program to raise the visibility of apprenticeship as an effective and innovative post-secondary education and training pathway. In parallel, these efforts are meant to increase industry confidence in the model. As a result, we expect that this infusion of public funds will increase the willingness of the private sector to further invest in apprenticeships. To accelerate the realization of this goal, we are requiring that the public-private partnerships funded under this FOA secure a 35 percent match, as discussed in Section III.B. Cost Sharing or Matching.

In addition to scaling the reach of apprenticeships by increasing the number of employers willing to sponsor them, this grant program also aims to ensure a sustained, rich supply of talent for apprenticeship programs over the long term. Thus, additional efforts are needed to expand the pool of workers who see apprenticeships as a well-respected training opportunity that is available to them. Grant-funded projects should strive to increase apprenticeship opportunities for all Americans, focusing particularly on veterans, military spouses, transitioning service members, and underrepresented populations in apprenticeship, including women, people of color, and ex-offenders.

B. PROGRAM AUTHORITY

The Scaling Apprenticeship Through Sector-Based Strategies Program is authorized under Section 414(c) of the American Competitiveness and Workforce Improvement Act of 1998 (ACWIA), as amended (codified at 29 U.S.C. 3224a). These grants are financed by a user fee paid by employers to bring foreign workers into the United States under the H-1B nonimmigrant visa program.

C. TARGET INDUSTRIES

The Scaling Apprenticeship Through Sector-Based Strategies Program will fund projects that expand apprenticeships to industries in which apprenticeships may traditionally be

[5] For more information on credentials, see ETA Training and Employment Guidance Letter (TEGL) No. 15-10, "Increasing Credential, Degree, and Certificate Attainment by Participants of the Public Workforce System," particularly Attachment 2, "Credential Reference Guide," at https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2967.

unavailable or underrepresented by providing apprenticeship training that leads to well-paying, middle- and high-skilled jobs across a diversity of H-1B industries and occupations. While program participants do not need to have those skill levels to enter the apprenticeship programs, the grant projects should help move apprentices along a career pathway to earn the education and on-the-job experience that will result in employment in middle- and high-skilled jobs.

To help American industry reduce the need for skilled foreign workers under the H-1B visa program, applicants must design their apprenticeship programs to target one of the following:

Option 1: Occupations in an H-1B industry - Applicants may choose to expand apprenticeships in an H-1B industry. An H-1B industry is an industry in which the Department has certified H-1B visas for occupations in that industry. The list of H-1B industries that are acceptable for applications is found in Appendix A. These industries are the information technology (IT) and IT-related industries, healthcare, advanced manufacturing, financial services, and educational services. Applicants may choose to target multiple occupations within an industry, or to narrow their focus to a specific occupation within that H-1B industry. However, applicants may only target one H-1B industry. For example, an applicant may choose to focus on the IT sector, specifically targeting developing cybersecurity apprenticeships within IT only and not targeting other IT occupations.

Option 2: H-1B Occupations – Applicants may choose to target a specific H-1B occupation(s) that fall outside of the identified H-1B industries. If this occupation is not within the H-1B industries identified in Appendix A, the application must provide data showing that the H-1B occupation is one for which a significant number of H-1B visas have been certified. This may be shown by using the data provided by DOL's Foreign Labor Certification Data Center. Applicants may propose to serve more than one H-1B occupation; however, the H-1B occupations must be within a single industry and must be scalable in that industry.

Applicants that do not clearly identify they are serving one of the H-1B industries identified in Appendix A or provide justification for a specific H-1B occupation(s) will be found non-responsive and will not be considered.

D. GEOGRAPHIC SCOPE

Applicants must develop comprehensive approaches to establishing new apprenticeship models or expanding existing apprenticeship programs on a national scale. They must also identify proposed service areas, such as economic region(s), cities, counties, and states, where new or existing apprenticeship programs will be deployed initially, and explain how those programs will ultimately reach a national scale.

E. PROGRAM ACTIVITIES/ALLOWABLE ACTIVITIES

The Scaling Apprenticeship Through Sector-Based Strategies grant program will expand apprenticeship opportunities within H-1B industry sectors, particularly those sectors that have not deployed apprenticeships on a large scale previously, and increase the number and types of workers participating as apprentices. Therefore, grant project activities will include establishing new apprenticeship programs or expanding existing apprenticeship programs, creating the training infrastructure/network to deploy the new programs, promoting apprenticeship programs on a national scale, and developing training activities for an expanded pool of individual apprentices in the newly certified or expanded programs.

Applicants must design workforce development strategies that comprise all of the following activities:

1) Expanding existing apprenticeships or deploying a new apprenticeship program within an H-1B industry on a national scale, including developing program standards, meeting quality standards, and obtaining promotion and adoption by a significant number of employers within the sector;
2) Recruiting a diverse and large number of apprentices for a robust workforce;
3) Offering earn-as-you-learn education and training models that prepare individuals to successfully move into middle- to high-skilled employment;
4) Engaging a wide array of employers, large and small, in the adoption and deployment of apprenticeships to greatly expand apprenticeship opportunities; and
5) Developing a system for reviewing, approving, collecting data from, and monitoring apprenticeship programs to assess the quality of the training standards, materials, and programs.

In addition, all applicants must provide outreach plans for promoting apprenticeship to a broad network of employers, including small employers. The outreach plans must demonstrate significant reach within an industry sector. Applicants must also provide customer-focused and technical assistance supports to this network of employers to enable them to implement the new apprenticeship programs.

1. Deploying Apprenticeship Training

A central goal of this grant program is to catalyze the training of significant numbers of new apprentices, specifically those described previously. These apprentices may include unemployed individuals seeking entry or reentry into the workforce, underemployed workers in need of new skills and opportunities, incumbent workers who need to increase their skills to remain competitive, and military service members who are transitioning to the civilian workforce.

DOL will fund apprenticeship training and supporting activities to ensure that the program(s) meet the needs of employers and apprentices. The elements

described below, in Section 1.E.1.b Training Standards, distinguish apprenticeship programs from other types of work-based learning.

a) Allowable Training and Training-Related Activities

Applicants may use grant funds to support the following training activities:

1) On-the-Job Training (OJT)

Grant funds may be used to subsidize the training and education costs for apprentices enrolled in programs that utilize a third-party education provider to implement sector-based programs. This would include reimbursing employers for some of the extraordinary costs of OJT. The following restrictions apply to projects funded under this FOA:

- *For the purposes of this FOA, grantees may use grant funds to reimburse a portion of the apprentice's wages for small employers (those with 50 or fewer employees who often need the greatest assistance to participate in apprenticeship programs).*
- *For those businesses that have more than 50 employees, grant funds may not be used to reimburse OJT costs; however, grantees may count these OJT costs as matching funds.*

Refer to Section IV.E. Funding Restrictions for allowable reimbursement rates based on employer size.

OJT can bridge the divide between unemployment and employment by addressing gaps in an individual's skills and what is required for a particular occupation. Research conducted over the past four decades has found that subsidized OJT contributes to positive employment and earnings outcomes.[6] OJT also offers apprentices an earn-as-you-learn training option, allowing individuals to learn new skills while earning a regular paycheck.

2) Related Technical Instruction (RTI).

Grant funds may be used to support the RTI (sometimes referred to as "classroom training") of an apprenticeship. RTI allows apprentices to learn the theoretical aspects of the job. Allowable costs may include: (1) the development of courses at the post-secondary level that are integrated into the apprenticeship program, (2) apprentice tuition or other educational fees, (3) the delivery of instruction

[6] U.S. Departments of Commerce, Education, Labor and Health and Human Services, "What Works in Job Training: a Synthesis of the Evidence," p.8 (July 2014) https://www.dol.gov/asp/evaluation/jdt/jdt.pdf

requirements, and (4) the translation of military training, skills, and experience into the apprenticeship program.

The instruction may be competency-based education and training programs designed to give apprentices credit for skills already developed and allowing apprentices to move through coursework based on the mastery of a set of skills; and/or online course work, or distance learning modules, that build work-based skills and competencies.

3) Incumbent Worker Training

Grant funds may be used to train incumbent workers. Apprenticeship programs offer employers a viable strategy for upskilling their incumbent workers. Such training increases the skills and credentials for these workers to advance in their careers and assists employers in strengthening the skills of their existing workforce. Applicants that propose to serve incumbent workers must work with employer(s) and employer partners to develop apprenticeship programs designed to fill existing or projected job vacancies in middle- to high-skilled positions.

4) Pre-Apprenticeship Training

Pre-apprenticeship services and programs are designed to prepare a diverse pool of individuals to enter and succeed in apprenticeship by providing career-specific training and readiness skills needed on the job. In addition to providing preparatory skills for future apprentices, pre-apprenticeship training can be an effective vehicle to streamline the recruitment process and help move job-ready apprentices into apprenticeship. For the grant projects under this FOA, applicants may propose pre-apprenticeship programs to serve as on-ramps to apprenticeship opportunities, as long as the training is on a career pathway that leads to middle- to high-skilled occupations.

The most effective pre-apprenticeship programs are those which utilize employers or other program sponsors to articulate eligibility requirements and qualifications that lead to hiring into an apprenticeship. DOL is interested in funding pre-apprenticeship services that demonstrate clear pathways for targeted populations to become apprentices, such as the YouthBuild program. For more information on pre-apprenticeships, please refer to Appendix B.

5) Supportive Services

Grant funds may be used to provide supportive services for training apprentices. Supportive services are those necessary to enable an individual to participate in education and training activities funded through this grant program. Examples of such services may include transportation, childcare, dependent care, housing, and needs-related payments. Grantees may fund supportive services through various means, including, but not limited to, providing the actual supportive service (e.g., childcare), providing apprentices with a voucher for the service (e.g., public

transportation cards or tokens), or providing a stipend directly to the apprentice. See Section IV.E.5. Use of Funds for Supportive Services.

b) Training Standards

The Scaling Apprenticeship Through Sector-Based Strategies grant program aims to provide workers with the apprenticeship training and industry-recognized credentials they need to reach middle- to high-skilled occupations. DOL therefore requires grantees to provide training along a career pathway to middle- and high-skilled jobs. Although apprentices do not need to have advanced educational credentials or middle- to high-skills levels to enter the program, any training that starts at a lower skill level must build sequentially toward transitioning the apprentice into a job requiring more advanced skills.

All apprenticeship programs funded through the grant must support recognized standards of high-quality apprenticeship programs. The hallmarks of program quality to which all apprenticeship programs funded through this grant must adhere are as follows:

1) Paid, Work-Based Component

Apprenticeship programs must pay apprentices at least the applicable Federal, state, or local minimum wage or a Federally-approved stipend under Federal wage requirements if otherwise applicable, and must describe wage progression requirements. Additionally, programs must address how they will provide apprentices the opportunity to gain upward mobility in the industry.

2) OJT Training and Mentorship

An important aspect of apprenticeship programs is offering apprentices the opportunity to apply what they are learning to their work through well-designed and highly structured work experiences. While they are learning on the job, programs should provide mentors to support apprentices and provide guidance on an industry or company culture, and industry or workplace policies and procedures.

3) Educational and Instructional Component

Apprenticeship programs must provide or arrange for classroom or related instruction that is high-quality and adequate to help apprentices achieve their proficiency goals or earn credentials or certifications. As an important indication of quality, programs must be designed to ensure that apprentices receive college credit for classroom or related instruction.

4) Industry-Recognized Credentials Earned

Upon completion of the apprenticeship program, apprentices must earn industry-recognized credential(s). The credential(s) must be portable, and applicants must identify all of the portability benefits in the application. In sectors in which generally accepted credentials already exist, or will be issued by industry organizations or credentialing bodies, applicants must describe whether program completion will result in one or more of these existing credentials or qualify an apprentice to sit for relevant credentialing exams. In sectors where independent credentials exist and are not issued by the apprenticeship program, the program must describe the alternative credential that apprentices may earn.

5) Safety, Supervision, and Equal Employment Opportunity.

Apprenticeship programs must have policies and procedures in place to ensure a safe working environment that adheres to all applicable Federal, state, and local safety, employment, and equal opportunity laws and regulations.

2. Taking Apprenticeships to Scale

Apprenticeships already provide a proven pathway to careers in many industry sectors, but in some sectors this approach is just taking hold. Through this grant program, the partnership will directly engage employers to design apprenticeship programs that respond to employer hiring needs and build career advancement opportunities within a specific sector.

Applicants must develop comprehensive approaches to establishing new apprenticeship models or expanding existing apprenticeship programs on a national scale, as described in Section I.D. Geographic Scope. They must develop methods for promoting the models and assisting a range of employers – and particularly small- and medium-sized businesses – in adopting them.

Applicants' efforts to promote apprenticeship to a broad network of employers, including small employers, will be foundational to their ability to take apprenticeships to scale, whether through the creation of new apprenticeship programs or the expansion of existing ones. Hence, to assist in their efforts to enlist a wide network of employers, applicants may use grant funds to undertake the following activities:

- Engaging employer intermediary partners that can help work with small businesses to aggregate their training needs and to reduce the burden on smaller employers who may need assistance coordinating with training providers and managing the work-based learning component; and
- Engaging experienced apprenticeship intermediaries to assist the lead applicant's employer partners in implementing their programs, attracting and screening candidates, and interacting with local education providers.

a) Allowable Activities for Establishing New Apprenticeships

Applicants may use grant funds to support the following activities for establishing new apprenticeships:

- Engaging employers in developing standardized or centralized training (such as online programs delivered by an education provider or trade association) to train mentors and trainers who may be experts in their craft, but have limited experience teaching it to others and mentoring novice workers;
- Developing competency-based apprenticeship standards for a particular industry sector that include, at a minimum, the provision of industry-recognized credentials;
- Developing educational resources and training materials that could be used by community colleges, training providers, trade associations or companies to facilitate high-quality and consistent related technical instruction (RTI) – thus addressing one of the most significant barriers to apprenticeship program development. ETA encourages applicants to leverage existing resources by adapting the Trade Adjustment Assistance Community College and Career Training (TAACCCT) grantee resources and materials to align with sector-based standards, and to engage successful TAACCCT grantees in sector-based expansion efforts. See Appendix C for links to a web tool for identifying TAACCCT grantees and as an online repository of TAACCCT grantee materials;
- Developing occupational standards that document the level of skill, education, and knowledge required in a range of occupations to achieve an apprenticeship credential. ETA encourages applicants to adopt or adapt the National Occupational Frameworks (NOFs), a set of voluntary, consensus-based apprenticeship standards that are approved by DOL and developed in partnership with employers and a range of other partners. While designed to support competency-based programs, the NOFs can easily be adapted to support time-based or hybrid programs as well. See Appendix D for a link to the NOFs on the Urban Institute's web page;
- Conducting outreach to a range of small- and medium-sized businesses to expand apprenticeship broadly within an industry sector. Beyond training materials and models, businesses can receive technical assistance to deploy apprenticeship training;
- Establishing third-party review of apprenticeship standards, educational materials, curriculum standards, and OJT standards to determine college credit equivalency through organizations such as the National College Credit Recommendation Service or American Council on Education; and
- Developing a process or system for reviewing, approving, and collecting data from apprenticeship programs to assess the quality of the training standards, materials, and programs.

b) Allowable Activities for Expanding Existing Apprenticeship Programs

Applicants may use grant funds to expand existing apprenticeship programs for the following activities:

- Expanding apprenticeship programs to the proposed areas of service, as described in Section I.D. Geographic Scope;
- Revamping existing curricula to meet the needs of employer partners; and
- Tailoring apprenticeship training activities for online or virtual application to meet the needs of apprentices.

3. Other Allowable Activities that Support the Expansion of Apprenticeship Opportunity

A wide range of activities may assist applicants in their efforts to deploy apprenticeship training, establish new apprenticeships, and/or expand existing apprenticeship programs. Accordingly, applicants may propose to use grant funds to undertake additional activities designed to create an environment for apprenticeship expansion and training opportunities, including but not limited to the following:

- Development of outreach and promotion to support increased awareness of apprenticeships for employers, potential apprentices (particularly veterans, military spouses, transitioning service members, and underrepresented populations), educators, the general public, etc.;
- Development of career awareness materials;
- Recruitment of eligible apprentices;
- Program design and implementation costs, such as the development of curricula and standards of apprenticeship, or costs associated with the development of competency-based apprenticeship training or other accelerated learning models;
- Hiring/developing qualified instructors and subject matter experts (including the costs of salaries and benefits) to assist in the delivery of new curricula;
- Use of subject matter experts from industry, apprenticeship, education, or other areas to assist in updating, replicating, or customizing existing industry-recognized curricula to support RTI;
- Development of articulation agreements with universities and other educational partners that allow for recognition of apprenticeship training toward college credit;
- Conducting prior learning assessments to determine the number of college credits that can be awarded for apprentices who receive their apprenticeship certificate of completion;
- Conducting assessments to determine skill levels, aptitudes, abilities, and competencies of apprentices;

- Costs related to awarding of Certificates of Training and/or Certificates of Completion of Apprenticeship credentials;
- Building system/infrastructure capacity to organize and/or analyze program data for continuous improvement and program evaluation;
- Leveraging and aligning existing Federal resources to ensure that efforts can move from planning to implementation to sustainability; and
- Project oversight and management, grant reporting, and other administrative functions.

Applicants should also refer to Section VI. Award Administration Information for a list of relevant regulations and guidance related to cost principles, administrative, and other requirements that apply to this funding opportunity, and to Section IV.E. Funding Restrictions for a discussion of costs that are not allowable under this Solicitation.

II. AWARD INFORMATION

A. AWARD TYPE AND AMOUNT

Funding will be provided in the form of a grant. We expect availability of approximately $150 million to fund approximately 15 to 30 grants ranging from $1 million to $12 million each. You may apply for a ceiling amount of up to $12 million. You should request funding that is commensurate with the scope and scale of the project proposed, as described below. Awards made under this Announcement are subject to the availability of Federal funds. In the event that additional funds become available, we may use such funds to select additional grantees from applications submitted in response to this Announcement.

To ensure that grant funds result in services to significant numbers of apprentices, we have established goals for the minimum numbers of apprentices to be served during the period of performance, based on the amount of funds requested by the applicant (see Figure 1 below).

The number of apprentices served means those individuals who receive grant-funded services in support of their apprenticeship training goals. Applicants must identify in the project narrative (described in more detail in Expected Outcomes and Outputs under Section IV.B.3. Project Narrative) the number of apprentices to be served through the project, in alignment with the FOA-established goals based on the amount of funds requested.

This grant investment is intended to provide apprenticeship training and offset the costs of training and services for apprentices. To help ensure a successful project and meet the minimum goal for apprentices served, applicants must secure matching funds in an amount equal to at least 35 percent of the total requested funds. In addition to identifying matching funds, applicants should ensure matched

resources are sufficient to meet the service and training needs of all apprentices served. This includes cash or in-kind support from private sector investment funds (e.g., staff, time, services, products, and other non-cash resources matched from businesses, industry associations, labor organizations, or education and training providers). Matched resources are a critical component of the project design and applicants will be scored based on the strength of these matched resources, as described in Section IV.B.3.a(6)b Matching Funds.

Figure 1. Minimum Goals for Apprentices Served During the Grant Period Based on Funding Request*

Funding Request	Minimum Apprentices Served
$1,000,000 - $2,000,000	800
$2,000,001 - $4,000,000	1,600
$4,000,001 - $8,000,000	3,200
$8,000,001 - $12,000,000	5,000+

*The minimum goals, listed above in Figure 1, identify the minimum number of apprentices the project must serve during the grant period, based on the applicant's requested funding amount. These numbers are minimum outcome goals applicants must propose for the numbers of apprentices to be served through the grant, and applicants are strongly encouraged to serve more than the minimum thresholds. Applicants must propose apprentice targets that are based on the FOA requirements and that are appropriate for the scope of their project. Applicants should refer to Section IV.B.3.a.(2) Expected Outcomes and Outputs for more information on how they will be scored on proposed targets.

B. PERIOD OF PERFORMANCE

The period of performance is 48 months with an anticipated start date of February 1, 2019. This performance period includes all necessary implementation and start-up activities. These activities include: promoting apprenticeship programs within the targeted H-1B industry and/or occupation on a national scale; developing or expanding training activities for apprentices; providing training to apprentices; and follow-up for tracking and reporting performance outcomes. We expect hiring appropriate grant project personnel and undertaking start-up activities will begin immediately and expect that grantees will begin enrolling apprentices no later than nine months after the date of grant award. We also expect that applicants will have begun expanding their apprenticeship program nationally by at least the beginning of the fourth year of the grant. We strongly encourage applicants to develop their

project work plans and timelines accordingly. Grantees must plan to fully expend grant funds during the period of performance.

III. ELIGIBILITY INFORMATION

A. ELIGIBLE APPLICANTS

In keeping with the authority provided by Congress under ACWIA, grants under this program will be awarded to an apprenticeship partnership of public and private sector entities. The apprenticeship partnership, including the lead applicant, must include public and private sector entities; otherwise the application will be considered non-responsive and will not be considered or reviewed. An entity cannot serve as more than one type of required partner for the purpose of meeting FOA requirements.

The requirement for a private sector partner is described in Section III.A.3.a Required Private Sector Partner(s). To meet the requirement for a public sector partner, one or more of the following must be a public sector entity: the lead applicant, a public institution of higher education that is a consortium member, or an optional partner as described in Section III.A.3.b Optional Partners.

Grants will be awarded to the lead applicant of an apprenticeship partnership, which will serve as the grantee and have overall fiscal and administrative responsibility for the grant.

1. Eligible Lead Applicant Entities

For the purposes of this FOA, eligible lead applicants include: a) an institution of higher education representing a consortium of institutions of higher education, (IHEs), as defined in Section 102 of the Higher Education Act of 1965 (20 U.S.C. 1002); or b) a state system of higher education, such as a community college system office or a single state higher educational board.

To be eligible for inclusion in the apprenticeship partnership, a lead applicant that is an IHE must be accredited, by the closing date of this FOA and remain so throughout the entity's performance in this grant program, by a nationally recognized accrediting agency or association that has been recognized by the U.S. Department of Education. A database of institutions that are accredited by bodies recognized by the U.S. Department of Education can be found at http://ope.ed.gov/accreditation/. Generally, institutions of higher education are two-year and four-year colleges and universities, including institutions that serve minorities (e.g., Historically Black Colleges and Universities, Tribal Colleges and Universities, Hispanic-Serving Institutions, Asian American and Native American Pacific Islander-Serving Institutions, or others designated by the U.S. Department of Education at http://www2.ed.gov/about/offices/list/ocr/edlite-minorityinst.html).

Lead applicants must identify their institution type in Section 9 of the SF-424 Application for Federal Assistance. A lead applicant that is an IHE must submit documentation as an attachment verifying that it is an institution of higher education accredited by an agency that has been recognized by the U.S. Department of Education. Applicants that do not provide this documentation will be considered non-responsive.

Please note that all elements of 2 CFR 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards) and 2 CFR 2900 (DOL's Supplement 2 CFR Part 200) apply to any entity that carries out a Federal award as a recipient or subrecipient, including for-profit organizations. This includes the monitoring and the examination of their records. In addition, the entity may not earn or keep any profit resulting from Federal financial assistance.

2. Role of Lead Applicant

In the required Abstract (see Section IV.B.4. Attachments to the Project Narrative), you must clearly identify the lead applicant and each member of the apprenticeship partnership.

The lead applicant will serve as the grantee, must be the organization specified in Section 8 of the SF-424 Application Form, and will be: 1) the point of contact with the Department to receive and respond to all inquiries or communications under this FOA and any subsequent grant award; 2) the entity with authority to withdraw or draw down funds through the Department of Health and Human Services - Payment Management System (HHS-PMS); 3) the entity responsible for submitting to the Department all deliverables under the grant, including all technical and financial reports related to the project, regardless of which partnership member performed the work; 4) the entity that may request or agree to a revision or amendment of the grant agreement or statement of work; 5) the entity with overall responsibility for carrying out the programmatic functions of the grant, as well as for the stewardship of all expenditures under the grant; 6) the entity responsible for coordinating with the national evaluator, including participating in an evaluation and other studies, if selected by DOL; and 7) the entity responsible for working with DOL to close out the grant.

3. Apprenticeship Partnership

The lead applicant, the required private sector partner(s), and any optional partners collectively form the "apprenticeship partnership." Applicants must demonstrate strong engagement of the partnership leaders necessary to expand apprenticeships on a national scale within an industry sector.

a) Required Private Sector Partner(s)

Applicants must include in their apprenticeship partnership at least one high-level representative from private industry that represents the sector or industry in

which the applicant is proposing to take apprenticeships to scale. This required private sector partner must consist of:

- One or more national industry/trade associations; or
- A consortium of at least five businesses representing an industry sector.

The national industry/trade association(s) must be able to demonstrate national membership and represent a significant number of the companies within the targeted industry sector. A national/trade association, also known as an industry trade group, business association, sector association, or industry body, is an organization founded and funded by businesses that operate in a specific industry. Employer consortiums of five businesses must demonstrate a national reach through their organizational structure or through their apprenticeship partnership.

To demonstrate the active involvement of the required private sector partners, applicants must provide signed documentation of commitments – such as signed memoranda of understanding, an organizational charter, a partnership agreement, or other types of signed agreements – which demonstrate the engagement of high-level leadership for each entity being proposed as a required partner.

Applicants will be scored based on the inclusion of this documentation, as well as the level and quality of involvement in the project, as described in Section IV.B.3. Project Narrative.

b) Optional Partners

While the required private sector partner(s) reflect the national scope and reach of the project, we strongly encourage applicants to collaborate with other partners that can support and advance the work of the apprenticeship partnership. These include: organizations functioning as workforce intermediaries, such as workforce development boards, labor-management organizations, community-based 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; YouthBuild Programs; community organizations that provide social support and/or wrap-around services; State Apprenticeship Agencies; foundations and philanthropic organizations; and Federally-funded programs.

Applicants that are proposing to develop new apprenticeship programs may want to partner with certifiers or certification entities that will ensure that the training received meets national industry standards and provide quality assurance of the apprenticeship through third-party validation.

B. COST SHARING OR MATCHING

1. Matching Funds

This program requires cost sharing or matching funds. Such funds may be in the form of cash or in-kind contributions and must be equal to 35 percent of the total Federal share of costs. Any resources contributed to the project in addition to cost sharing or matching funds will be considered leveraged resources. Section IV.B.2. Project Budget provides more information on leveraged resources.

To be allowable as part of match, an expenditure must be an allowable charge for Federal grant funds and considered necessary and reasonable to accomplish the project or program objectives. DOL will make determinations of allowable costs in accordance with the applicable Federal Cost Principles as indicated in Section IV.E. Funding Restrictions.

In addition to the requirements related to match in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards: Final Rule at 2 CFR Part 200, 2 CFR 2900.8 states that: "In addition to the guidance set forth in 2 CFR 200.306(b) for Federal awards from the Department of Labor, the non-Federal entity accounts for funds used for cost sharing or match within their accounting systems as the funds are expended." It is not sufficient or adequate to receive and report monies as match; the monies must be expended on the program in order for it to be counted as match. Expenditures of match funds must be reported on the recipient share section of the ETA-9130 Form.

Additionally, in accordance with 2 CFR 200.306, the match amount must be: verifiable from the non-Federal entity's records, not included as contributions for any other Federal award, necessary and reasonable for the accomplishment of project or program objectives, and not provided by the Federal government under another Federal award.

DOL encourages applicants to leverage additional resources beyond the required match to supplement grant activities. Applicants must count and document as leveraged resources any cash or in-kind commitments beyond 35 percent of the grant award amount required as matching funds.

Both matching and leveraged resources can come from a variety of sources, including, but not limited to: the private sector (e.g., businesses or industry associations); the investor community (e.g., angel networks or economic development entities); the philanthropic community (e.g., foundations); and the non-profit sector (e.g., community organizations, faith-based organizations, or education and training institutions). Non-Federal, public sector funds (e.g., from States or local governments) may be used for matching funds, if necessary.

For the purposes of the grant application, the match explanation in the budget narrative must contain:

- Total dollar value of commitment, per year of grant and full period of performance;
- The source of match funds; and
- Detailed calculations showing how the total dollar value was derived.
  - For match based on participants served, the calculation should be: __ participants enrolled x ___ cost of training/class/session per participant per year x __ years of the commitment = total commitment
    - Example: XYZ Community College is committing 10 slots per year in a computer programming class. The match commitment letter must read: 10 slots x $500 per slot x 2 years = $10,000
  - For match based on staff time, the calculation should be: __ hours per year (or percentage of FTE) x __hourly rate (or annual salary) x __ years of commitment = total commitment
    - Example: Applicant is committing Executive Director for 20 percent of the FTE over the life of the grant. The match commitment letter must read: 20 percent x $75,000 per year x 3 years = $45,000
  - For match based on a set resource, the calculation should be: __ monthly rate x __ months per year x __ years of commitment = total commitment
    - Example: ABC Organization is committing office space for the program. The match commitment letter must read: 800 square feet x $2.00/sq. ft. x 12 months x 3 years = $57,600.
  - Please see 2 CFR 200.306 for additional information on how to calculate the contribution of services and property.

The valuation process of in-kind match includes determining the fair market value of an expenditure at the time of donation, appraising donated space and buildings, and determining the value of personnel services. The value of personnel services will depend, in part, on the staff person's role on the grant relative to their role in the overall organization. Calculations must be clear and able to be replicated by reviewers.

During the period of performance, the grantee must meet the supporting documentation requirements of matching as specified in 2 CFR 200.306. DOL recognizes match at the time it is expended, as specified in 2 CFR 2900.8, and not when it is earned or received. Additionally, the grant recipient must apply the same supporting documentation requirement to tracking match expenditures as it would to grant expenditures.

2. Paid Release Time for Incumbent Workers

The portion of an incumbent worker's salary paid while the worker is participating in the related technical instruction component of the apprenticeship program (i.e., employee paid release time) may be counted as match under these grants. Fringe benefits and other personnel benefits cannot be counted as match. For employer partners (or subrecipients), these funds may be counted as cash match.

3. SF-424, SF-424A and the Budget Narrative

The matching funds required of applicants must be shown on the SF-424 application and the SF-424A budget form. Please note that any cash or in-kind resources beyond the 35 percent required match should be counted as leveraged resources. Applicants must clearly make the distinction between what will be considered matching funds and what will be considered additional leveraged resources and explain leveraged resources in the budget narrative separately from the explanation of match. Do not include the leveraged funds on the SF-424 or SF-424A. Details on leveraged resources can be included in the budget narrative.

If there is a discrepancy in the amount of funds specified on the SF-424, SF-424A or Budget Narrative, DOL will consider the amounts specified on the SF-424 as the applicant's match. Applicants that fail to provide the required match information will be found non-responsive to this FOA and their applications will not be considered for funding.

4. Fulfilling the Match Requirement

Applicants are expected to fulfill the match amount specified on the SF-424 during the grant period of performance. If the match amount specified is not met or if a portion of the matching funds are found to be unallowable costs, the amount of DOL grant funds may be decreased on a dollar-for-dollar basis. If this occurs, the grantee may be required to repay funds to DOL.

5. Reporting Match and Leveraged Resources

DOL grantees must track and report both match and leveraged resources quarterly on ETA Form 9130. Instructions and the ETA Form 9130 may be found at http://www.doleta.gov/grants/financial_reporting.cfm

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

Application Requirement	Instructions	Complete?
The deadline submission requirements are met	Section IV.C	

Eligibility	Section III.A	
If submitted through Grants.gov, the components of the application are saved in any of the specified formats and are not corrupt. (*We will attempt to open the document, but will not take any additional measures in the event of problems with opening*.)	Section IV.C.2	
Application for Federal funds request is within the grant award range of $1 million to $12 million	Section II.A	
SAM Registration	Section IV.B.1	
SF-424, Application for Federal Assistance	Section IV.B.1	
SF-424 includes a DUNS Number	Section IV.B.1	
SF-424 lists the required cost sharing or match amount on line 18b.	Section IV.B.2	
SF-424A, Budget Information Form	Section IV.B.2	
Budget Narrative (including match)	Section IV.B.2	
Project Narrative	Section IV.B.3	
Proof of accreditation of lead applicant (if lead is an institution of higher education)	Section III.A.1	

2. Number of Applications Applicants May Submit

We will consider only one application from each organization. However, the applicant may submit one application as lead applicant and, in addition, may be included as a partner in one or more submitted applications where it is not the lead applicant.

Multiple applications from an organization as lead applicant are not allowed. If we receive multiple applications from the same organization as lead applicant, we will only consider the most recently received application that met the deadline. If the most recent application is disqualified for any reason, we will not replace it with an earlier application.

3. Eligible Participants

a) Participants Eligible to Receive Training

The intent of this FOA is to fund projects that provide apprenticeship training and services to individuals that will gain the skills and competencies required to enter

middle- and high-skilled jobs along a career pathway in a variety of H-1B industries and occupations. This program will train individuals who are unemployed and seeking entry or reentry into the workforce, underemployed workers, and incumbent workers who need to increase their skills to remain competitive.

Individuals must be older than 16 years and not currently enrolled in school within a local educational agency. Training must result in advancement of an individual's skills along a career pathway into middle- and high-skilled occupations.

Among the individuals eligible to receive apprenticeship training, those of particular interest include veterans, military spouses, transitioning service members, and ex-offenders. Applicants are also strongly encouraged to include individuals who are not traditionally represented in apprenticeship programs and H-1B industries, including women, people of color, and ex-offenders.

For the purposes of this FOA, the following definitions apply:

1) **Unemployed workers:** An unemployed worker is an individual who is without a job, is seeking employment, and is available to work.

2) **Incumbent workers:** This term refers to individuals who are employed but need training to upgrade their skills to secure full-time employment, advance in their careers, or retain their current occupations in H-1B occupations and industries. Incumbent workers are workers who typically are employed in lower-skilled, lower-wage, front-line, and/or entry-level positions, and where attaining new skills and competencies could help advance them into middle- and high-skilled jobs with their current employer. This definition includes newly hired workers and workers whose hours have been reduced and/or earnings have declined. The training provided to incumbent workers is developed with an employer or employer association.

3) **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. To facilitate the inclusion of less-skilled and disadvantaged workers, applicants may serve individuals who are lower skilled, without the necessary skills and competencies to be in middle- and high- skilled jobs, as long as the program provides the skills necessary for individuals to enter a middle- to high-skilled job, or a job along a career pathway in H-1B industries or occupations, upon completion of an apprenticeship program. The apprenticeship program must include components that will assist those who do not have particular educational prerequisites and/or experience.

b) Veterans' Priority for Participants

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

IV. APPLICATION AND SUBMISSION INFORMATION

A. HOW TO OBTAIN AN APPLICATION PACKAGE

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

B. CONTENT AND FORM OF APPLICATION SUBMISSION

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

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

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

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

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

- In the address field, fill out the nine-digit (plus hyphen) zip code. Nine-digit zip codes can be looked up on the USPS website at https://tools.usps.com/go/ZipLookupAction!input.action.

- The SF-424 must clearly identify the applicant and must be signed by an individual with authority to enter into a grant agreement. Upon confirmation of an award, the individual signing the SF-424 on behalf of the applicant is considered the Authorized Representative of the applicant. As stated in block 21 of the SF-424 form, the signature of the Authorized Representative on the SF-424 certifies that the organization is in compliance with the Assurances and Certifications form SF-424B (available at https://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1). You do not need to submit the SF-424B with the application.

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

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

- Grant recipients must notify potential subawardees that no entity may receive a subaward from you unless the entity has provided its DUNS number to you.

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

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

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

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

ready to make a Federal award, the Grant Officer may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant.

2. Project Budget

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

Budget Narrative: The Budget Narrative must provide a description of costs associated with each line item on the SF-424A. It must also include a section on the required match with a complete description of projected match, the source and how it will be spent on the project.

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

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

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

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

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

Equipment: Identify each item of equipment you expect to purchase which has an estimated acquisition cost of $5,000 or more per unit (or if your capitalization level is less than $5,000, use your capitalization level) and a useful lifetime of more than one year (see 2 CFR 200.33 for the definition of Equipment). List the item, quantity, and the unit cost per item.

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

Supplies: Identify categories of supplies (e.g. office supplies) in the detailed budget and list the item, quantity, and the unit cost per item. Supplies include all tangible personal property other than "equipment" (see 2 CFR 200.94 for the definition of Supplies).

Contractual: Under the Contractual line item, delineate contracts and subawards separately. Contracts are defined according to 2 CFR 200.22 as a legal instrument by which a non-Federal entity purchases property or services needed to carry out the project or program under a Federal award. A subaward, defined by 2 CFR 200.92, means an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program.

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 any item, such as stipends or incentives, not covered elsewhere here.

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 10 percent de minimis rate, please confirm that your organization meets the requirements as described in 2 CFR 200.414(f). Clearly state that your organization has never received a Negotiated Indirect Cost Rate Agreement (NICRA), and your organization is not one described in Appendix VII of 2 CFR 200, paragraph (D)(1)(b).

Applicants choosing to claim indirect costs using the de minimis rate must use Modified Total Direct Costs (see 2 CFR 200.68 below for definition) as their cost allocation base. Provide an explanation of which portion of each line item, along with the associated costs, are included in your cost allocation base. Note that there are various items not included in the calculation of Modified Total Direct Costs. See below the definitions to assist you in your calculation.

2 CFR 200.68 Modified Total Direct Cost (MTDC) means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first $25,000 of each subaward (regardless of the period of performance of the subawards under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of $25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.

The definition of MTDC in 2 CFR 200.68 no longer allows for any sub-contracts to be included in the calculation. You will also note that participant support costs are not included in modified total direct cost. Participant support costs are defined below.

2 CFR 200.75 Participant Support Cost means direct costs for items such as stipends or subsistence allowances, travel allowances, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with conferences, or training projects.

See Section IV.B.4. Attachments to the Project Narrative and Section IV.E.1. Indirect Costs for more information. Additionally, the following link contains information regarding the negotiation of Indirect Cost Rates at DOL: https://www.dol.gov/oasam/boc/dcd/index.htm.

Note that the SF-424, SF-424A, and Budget Narrative must include the entire Federal grant amount requested (not just one year). Applicants must also show cost sharing or match on the SF-424 (line 18b), SF-424A, and Budget Narrative.

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

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

3. Project Narrative

a) Preparing the Project Narrative

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

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

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

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

(1) Statement of Need (8 points)

Scoring under this criterion will be based on the extent to which the discussion of the following factors is clear, logical, and an accurate interpretation of labor market data. All data sources must include citations that provide information that enables the identification and verification of data.

a. Target Industry and Employer Demand (4 points)

i. Clear identification and complete explanation of the H-1B industry or occupation targeted by the proposed project. This includes clearly and convincingly identifying how the selected industry and occupation align with the industry sector and demonstrated employer demand (refer to Appendix A to see a list of permissible industries.); (2 points) and

ii. Detailed and convincingly supported description of the current and future projected national demand for employment in the selected H-1B industry and occupation. Applicants must cite the source for the projected demand, such as Bureau of Labor Statistics or other DOL sources, state workforce agency sources, employers, or other written labor market information provided by employers or other knowledgeable parties. Applicants must provide strong evidence with citations that identifies the average current wages offered for the selected industry and occupation,

based on national, state, or local data. To the extent possible, data should reflect the service area(s) proposed. (2 points)

b. Populations Served (4 points)

i. Clear identification of the specific population(s) to be served through the project, including demographic characteristics, skill levels, and a description of how the targeted population(s) to be served in the project will meet the requirements of this FOA as identified in Section III.C.3. Eligible Participants; (2 points) and

ii. Clear statement of whether the project will increase access to underrepresented populations in apprenticeship, particularly veterans, military spouses, transitioning service members, women, people of color, and ex-offenders. (2 points)

(2) Expected Outcomes and Outputs (34 points)

For this criterion, applicants must provide the outcomes and outputs that the project will achieve as a direct result of the strategic approach described in the Project Design section. Applicants must provide a table that clearly identifies the outcomes (listed in Section IV.B.3.a.(2)a, directly below) and the outputs (listed in Section IV.B.3.a.(2)b, directly below) that will result from your project. This table will include annual target outcomes that will be used for the purposes of technical assistance. In addition, applicants must describe in a narrative format how these outcomes and outputs align with their project goals (see Section IV.B.3.a.(2)c, directly below).

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

a. Apprentice Training and Employment Performance Outcomes (16 points)

Applicants must include comprehensive numerical outcome projections for each of the seven outcome measures identified and defined in Appendix E. Applicants must provide raw numbers for each of the target outcome measures. Percentages, percent increases, or other types of data projections are not acceptable.

1) Total apprentices served, including participants served in pre-apprenticeship and apprenticeship programs. *This includes all individuals who receive a grant-funded service, after they are determined eligible to be served by the program*.
2) Total apprentices who are hired by an employer and enrolled in an apprenticeship education/training program.
3) Total apprentices who complete an apprenticeship education/training program.

4) Total apprentices who complete an apprenticeship education/training program and receive an industry-recognized degree or credential.
5) Total number of unemployed and underemployed apprentices who complete an apprenticeship education/training program and maintain their employment status with a current or new employer.
6) Total number of incumbent worker apprentices who complete an apprenticeship education/training program and advance into a new position.
7) The average hourly wage of apprentices at completion of the apprenticeship education/training program.

The targets must be provided for each year of the grant, as well as for the total grant period. Applicants must present their information in a performance outcomes table (see Appendix E for a sample format) to be included as an attachment to the Project Narrative. The table must be formatted to include sub-totals for each type of targeted population group served for each outcome goal, as appropriate, as well as total sums for each outcome goal.

b. Expanding Apprenticeship Programs Outputs (14 points)
Applicants are required to provide targets for the following performance metrics to track the efforts of developing new apprenticeship programs, expanding existing Registered Apprenticeship programs, or taking existing apprenticeship programs to national scale.

1) Total number of all newly created apprenticeship programs, including newly created Registered Apprenticeship programs.
2) Total number of employers engaged (i.e., those employers that adopt apprenticeship programs as a result of your grant project).
3) Total number of expanded apprenticeship programs, including Registered Apprenticeship programs (e.g., new industries, occupations or service areas, or increased number of apprentices registered).

c. Feasibility of Proposed Outcomes (4 points)

i. A thorough explanation of how the outcome projections for both apprenticeship training and expanding apprenticeship programs are feasible and appropriate numerical targets for the project design—specifically, detailing how the targets were derived and how the targets fit into the overall timeline of grant implementation.

(3) Project Design (44 points)

a. Apprenticeship Partnership Design (10 points)

Scoring under this criterion is based on how the apprenticeship partnership will directly engage employers within a specified industry sector to design work-based training opportunities that align with and respond to employer hiring needs and career advancement opportunities within a specific sector, including how other partners are involved in the project as proposed.

i. Comprehensive description of the apprenticeship partnership, including identifying all participating partners, particularly those required in the grant, describing their roles, and thoroughly and convincingly explaining how each partner supports the overall partnership. (6 points)
   - Clear and convincing explanation and demonstration that the private sector partner(s) represent(s) a significant presence in an industry sector and has a national scope or reach, and how the entity(ies) will be involved in the project, including its specific role(s) in the activities proposed in Section IV.B.3. Project Narrative;
   - Clear description of how the institutions of higher education will support the apprenticeship program in specific service areas; and
   - Thorough description of other (i.e., optional) partners and convincing demonstration that they will support and advance the work of the apprenticeship partnership.

ii. Documentation of the active roles of all required and optional partners identified in Section III.A.3. Apprenticeship Partnership. This includes a clear and thorough description of the capacity and role of all partners involved, including in expanding an existing apprenticeship program on a national scale, deploying a new apprenticeship program, and/or providing outreach and recruitment services, training activities, supportive services, and other services. Such documentation must be included in the form of attached partnership agreements, letters, or other documentation (as described in Sections IV.B.4. Attachments to the Project Narrative). Failure to provide documentation for each required partner and optional partners identified in Section III.A.3. Apprenticeship Partnership will cause the applicant to receive zero points for this rating factor. (4 points)

b. Apprenticeship Program Training Design (14 points)

Scoring under this criterion is based on how the training activities proposed in the apprenticeship program will be implemented. This includes academic and work-based training, and may also include supportive services designed to assist apprentices to participate and remain in the apprenticeship program.

i. Comprehensive description of an effective outreach, recruitment and enrollment strategy for engaging the target population(s), including clear identification of partner organizations identified in Section III.A.3 Apprenticeship Partnership, which will support this effort, and the process to ensure collaboration between the applicant, applicant's outreach partners, and other relevant partners in these activities. This must include a thorough description of the assessment process that will be used to determine if individuals are an appropriate fit for the apprenticeship program; (2 points)

ii. Thorough description of comprehensive approaches to establishing new apprenticeship models or expanding existing apprenticeship programs on a national scale. This must include a clear identification of proposed service areas, such as economic region(s), cities, counties, and states, where new or existing apprenticeship programs will be deployed initially; and an explanation that convincingly demonstrates how those programs will ultimately reach a national scale; (2 points)

iii. Clear description of the training activities that will be utilized for the proposed apprenticeship program and a convincing demonstration that these training activities will lead to middle- to high-skilled jobs. This must include identifying paid work and educational and instructional components of the apprenticeship program, as identified in Section I.E. Program Activities/Allowable Activities, such as OJT for small businesses and Related Technical Instruction (RTI). It may also include Pre-Apprenticeship Training that will be used to prepare the targeted population(s) for apprenticeships; (4 points)

iv. Thorough and convincing description of how the proposed training activities of the apprenticeship program are appropriate for the target populations, as described in Section III.C.3. Eligible Participants, to be served and how the strategies will address skills, training gaps, and other needs of apprentices identified in the Statement of Need; (2 points)

v. Clear and convincing demonstration that apprentices will achieve the necessary degree(s) and/or industry-recognized credential(s) to qualify for placement into middle- to high-skilled jobs upon completion of the grant program; (2 points) and

vi. Clear description of the proposed supportive service strategy(ies) for apprentices identified in Section III.C.3. Eligible Participants, including a thorough description of the specific services, such as childcare, transportation, equipment, needs-based payments, career counseling services, conflict management counseling, financial literacy education, accommodations for individuals with disabilities, and other student supportive services. The description must provide a clear plan

detailing how these services will be effectively provided and must convincingly demonstrate how these services will support apprentices in successfully remaining in and completing the apprenticeship training and obtaining employment in middle- and high-skilled jobs. (2 points)

c. Developing and Taking Apprenticeships to Scale (14 points)
Scoring under this criterion is based on the strength of the proposed workforce development strategy for developing new apprenticeship models and/or expanding existing programs on a national scale.

i. Comprehensive narrative description that describes and convincingly demonstrates how the proposed apprenticeship program(s) meet(s) the minimum requirements of a high-quality apprenticeship program, as described in Section I.E. Program Activities/Allowable Activities. These requirements include paid, work-based learning, an educational or instructional component that leads to industry-recognized credentials earned, as well as mentorship, policies and procedures for safety, supervision, and equal employment opportunity. The applicant must also describe how the program demonstrates quality assurance from a third party; (4 points)

ii. Detailed and convincing explanation of how the proposed or expanded apprenticeship program will lead to industry-recognized credentials; how existing curricula will be revamped to meet the needs of employer partners; how apprenticeship training activities will be tailored for online or virtual application to meet the needs of apprentices; and how standardized or centralized programs will be used to train mentors and trainers who may be experts in their craft, but have limited experience in mentoring novice workers or teaching others; (2 points)

iii. Detailed explanation of the process or system for reviewing, approving, and collecting data from apprenticeship programs to assess the quality of the training standards, materials, and programs, and to inform continuous improvement; (2 points)

iv. Clear description of a plausible strategic plan to deploy the proposed apprenticeship program within a key industry sector on a national scale. This includes identification of the proposed service areas, such as economic regions, cities, and counties where new or existing apprenticeship programs will be deployed initially, and an explanation of how those programs will ramp up rapidly and ultimately reach a national scale; (2 points) and

v. Description of the plan to increase the demand for apprentices among a broad network of employers, including small- and medium-sized businesses. This plan must include outreach and industry engagement activities that demonstrate significant reach within an industry sector. It also must include a thorough and convincing explanation of the methods used to promote the adoption of apprenticeship models and how to assist employers of all sizes in adopting them. This includes a description of how the project will engage partners that can help reduce the burden on smaller employers, such as by working with small businesses to aggregate their training needs, coordinate with training providers, and manage the work-based learning component. This plan must also describe how the project will engage partners to assist the lead applicant's employer partners in implementing their programs, attracting and screening candidates, and interacting with local education providers. (4 points)

d. Project Work Plan (6 points)

Scoring under this criterion is based on a clear and complete identification of project goals, milestones, key activities, and key partners of the proposed apprenticeship program.

i. Narrative description that clearly identifies the overall project goals and milestones for taking apprenticeships to scale, which will result from the apprenticeship project. The narrative description must demonstrate that milestones are reasonable based on the project design. To that end, the work plan must clearly describe short-term, mid-term, and long-term milestones that capture the results of taking apprenticeships to national scale and employment/training activities. The work plan must include all of the following (4 points):

- Project goals, which are the overarching achievements that will be pursued;
- 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;
- Key Activities, including timeframes for development or modification of apprenticeship programs, deployment of apprenticeship programs on a national scale, and/or enrollment in apprenticeship training; and
- Key partner(s) identified for key activities.

ii. Applicants must present the information described in their narrative in a work plan table format that provides an overview of activities, timelines, and key milestones. (See Appendix F for an example.) (2 points).

(4) Organizational, Administrative, and Fiscal Capacity (6 points)

a. Capacity of Lead Applicant, Partnership Structure, and Administrative Controls and Systems (4 points)

i. Detailed description demonstrating the lead applicant's capacity to effectively manage each component of the program, including a project management plan and a communications plan for efficient and effective management of the project with all partners and staff; and demonstrating its capacity to establish effective procurement processes, systems, and procedures and those of any partners who will be providing any services or conducting any activities under the grant (if applicable); (2 points) and

ii. Detailed organizational chart that identifies the lead applicant, apprenticeship partnerships, and other proposed partners. The chart must describe the structure of the relationships of all partners involved in the project. The chart must also identify the proposed project's staffing plan to illustrate that partners have the capacity to support the lead applicant to carry out the proposed project. The staffing plan must describe the qualifications and experience of all executive and administrative staff, as well as other personnel such as board members, advisors, and consultants, to fulfill the needs and requirements of the proposed project. Such qualifications and experience must demonstrate the ability to manage a strategic partnership, including fiscal and administrative management, outreach, and promotion. (2 points)

b. Financial, Data Collection, and Performance Reporting Systems (2 Points)

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. Reporting for reporting requirements for projects funded under this grant program.

i. Comprehensive description of the existing or planned systems and processes that the lead applicant will use to provide timely and accurate financial and participant-level performance reporting, including the process for tracking participant-level data on participant characteristics, services, activities, and employment outcomes of apprentices served through the project to report to the Department during the life of the grant. In addition, the description must detail how these systems will be used to regularly assess progress towards the identified performance goals and that rigorous performance reporting will be taken into account in staffing and budgeting plans. (2 points)

(5) Past Performance – Programmatic Capability (4 points)

Organizations will receive points based on past performance data. Applicants must use the information below and provide the applicable past performance information.

i. Full description of the lead applicant's prior experience in the development of apprenticeships or capacity to take existing apprenticeships to national scale during the grant period. This could include evidence of existing partnerships, prior experience in taking apprenticeship programs to scale, and the number of apprentices placed in prior programs; (2 points) and

ii. Demonstration that partners have experience in deploying apprenticeships; in developing work-based learning programs, internships, mentorships, externships, or clinical placements within the proposed industry; and in enrolling participants in apprenticeship programs, including securing employment placements, and/or wage increases. (2 points)

(6) Budget and Budget Justification (4 points)

Please see Section IV.B.2. Project Budget for information on requirements related to the budget and budget justification. The Budget and Budget Justification do not count against the page limit requirements for the Project Narrative.

a. Budget Narrative (2 points)

i. Detailed explanation of how the budget is reasonable and feasible based on the activities outlined in the Project Narrative, how the proposed expenditures will support the expansion of apprenticeship opportunities for both employers and individuals, and whether key personnel have adequate time devoted to the project to achieve project results (2 points).

b. Matching Funds (2 points)

i. Detailed description of the applicant's plan to match with external resources 35 percent of total requested grant funds. The description must identify how the matching funds will support grant activities, including how the matching funds will meet the goals for the numbers of apprentices to be served and of newly created and/or expanded apprenticeships (see Section II.A. Award Type and Amount), as well as the other outcomes and outputs proposed in response to Section IV.B.3.a.(2) Expected Outcomes and Outputs. This description should include the amount of cash and/or in-kind support from private sector investment funds (e.g., training investment funds, social impact bonds, industry association or labor organization funds, etc.) (2 points).

4. Attachments to the Project Narrative

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

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

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

Required Attachments

a. **Abstract:** You must submit an up to two-page abstract summarizing the proposed project, including, but not limited to, the scope of the project and proposed outcomes. Omission of the abstract will not result in your application being screened out; however, the lack of the required information in the abstract may impact scoring. See Section III.C.1. Application Screening Criteria for a list of items that will result in the screening out of your application. Include the following in the abstract (see Appendix G for suggested template):

1. lead applicant organization's name;
2. lead applicant entity type;
3. lead applicant city/state;
4. organization names and entity type of required partners;
5. organization names and entity type of optional partners;
6. proposed service areas where apprentices will be initially trained (economic region(s), cities, counties, and states);
7. total funding requested;
8. total matched funds;
9. project title/name;
10. summary of apprenticeship program activities and list of credentials to be awarded;
11. populations(s) to be served;
12. targeted H-1B industry sector;
13. targeted occupations(s) within H-1B industry sector; and
14. public contact information.

The Abstract is limited to two, double-spaced, single-sided 8.5x11 inch pages with 12-point text font and 1-inch margins.
When submitting in grants.gov, this document must be uploaded as an attachment to the application package and specifically labeled "Abstract."

b. **Proof of Accreditation:** A lead applicant that is an IHE must submit documentation as an attachment verifying that it is an institution of higher education accredited by an agency that has been recognized by the U.S. Department of Education (see Section III.A.1. Eligible Lead Applicant Entities). If the lead applicant does not submit proof of accreditation, the application will be considered incomplete and non-responsive, and it will not move forward through the merit review process.

Requested Attachments

We request the following attachments, but their omission will not cause us to screen out the application. Furthermore, the omission of the attachment will impact scoring unless otherwise noted.

a. **Documentation of Partnership Commitment:** You will be scored on the documentation showing representation from at least one senior-level representative from each of the required entities, as described in Section III.A.3. Apprenticeship Partnership. This may include signed and dated Letters of Commitment or Memoranda of Understanding between the applicant and all required and optional partner organizations and/or sub-grantees that propose to provide services to support the program model and lead to the identified outcomes.

When submitting in grants.gov, these letters must be uploaded as an attachment to the application package and specifically labeled "Letters of Commitment." This attachment does not impact the scoring of the application.

b. **Documentation of Commitment to Participate in Evaluation, if selected:** You may be required to participate in a Federal evaluation of the Scaling Apprenticeship Through Sector-Based Strategies grant program. The evaluation may include an experimental impact evaluation where eligible participants will be randomly assigned to the program or to a control group that does not receive the program. You must submit a statement of commitment to participate in a national evaluation initiated by DOL, for the applicant and all partners, including employers or regional industry associations. The evaluation may involve making records on participants, employers, and funding available;

providing access to program and partner personnel and participants; facilitating random assignment by increased recruitment of potential participants; and following evaluation procedures as specified by the evaluator(s) under the direction of DOL ETA and the Chief Evaluation Office, including after the period of operation. This attachment does not impact the scoring of the application. Applicants that do not submit this attachment and are selected for grant award will not receive their grant funds unless this attachment is submitted as a condition of grant award funding.

c. **Project Work Plan:** As described in Section IV.B.3.a(3)d, Project Work Plan. See Template in **Appendix F**. You will be scored on the completion and detail of the Project Work Plan.

d. **Performance Outcomes Table**: You will be scored on the completion and detail of the projected performance outcomes information in a performance outcomes table. For an example, see Appendix E, Performance Outcome Measures Table.

e. **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. Project Budget and Section IV.E.1. Indirect Costs.) This attachment does not impact scoring of the application.

When submitting in grants.gov, this document must be uploaded as an attachment to the application package and specifically labeled "NICRA."

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

C. SUBMISSION DATE, TIME, PROCESS AND ADDRESS

We will accept applications under this Announcement until **October 16, 2018**. We must receive your application either electronically on https://www.grants.gov or in hard copy by mail or in hard copy by hand delivery *(including overnight delivery)* **no later than 4:00:00 p.m. Eastern Time on the closing date**.

Applicants are encouraged to submit their application before the closing date to ensure that the risk of late receipt of the application is minimized. We will not

review applications received after 4:00:00 p.m. Eastern Time on the closing date. We will not accept applications sent by e-mail, telegram, or facsimile (FAX).

1. Hardcopy Submission

All applications submitted by mail or overnight delivery submissions **must be received** at the designated place by the specified closing date and time. Applicants submitting applications in hard copy by mail or overnight delivery must submit a "copy-ready" version free of bindings, staples or protruding tabs to ease in the reproduction of the application by DOL. Applicants submitting applications in hard copy must also include in the hardcopy submission an identical electronic copy of the application on compact disc (CD) or flash drive. If we identify discrepancies between the hardcopy submission and CD/flash drive copy, we will consider the application on the CD/flash drive as the official submission for evaluation purposes.

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

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

Address mailed applications to the:

U.S. Department of Labor
Employment and Training Administration
Office of Grants Management
Attention: Brinda Ruggles, Grant Officer
Reference FOA-ETA-18-08
200 Constitution Avenue, NW, Room N4716
Washington, DC 20210

Please note that mail decontamination procedures may delay mail delivery in the Washington DC area. We will receive hand-delivered applications at the above address at the **3rd Street Visitor Entrance**. All overnight delivery submissions will be considered to be hand-delivered and must be received at the designated place by the specified closing date and time.

2. **Electronic Submission through Grants.gov**

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

The process can be complicated and time-consuming. You are strongly advised to initiate the process as soon as possible and to plan for time to resolve technical

problems. Note that validation does not mean that your application has been accepted as complete or has been accepted for review by the agency. Rather, grants.gov only verifies 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 much as **four weeks** to complete, and this time should be factored into plans for timely electronic submission in order to avoid unexpected delays that could result in the rejection of an application.

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

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

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

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

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

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 their 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 sole responsibility to ensure a timely submission. While it is not required that an application be successfully validated before the deadline for submission, it is prudent to reserve time before the deadline in case it is necessary to resubmit an application that has not been successfully validated. Therefore, enough time should be allotted for submission (24-48 hours) and, if applicable, additional time to address errors and receive validation upon resubmission (an additional two business days for each ensuing submission). It is important to note that if enough time is not allotted and a rejection notice is received after the due date and time, DOL will not consider the application.

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

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

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

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

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

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

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

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

We will not consider any hard copy application received after the exact date and time specified for receipt at the office designated in this notice, unless we receive it before awards are made, it was properly addressed, and it was: (a) sent by U.S. Postal Service mail, postmarked not later than the fifth calendar day before the date specified for receipt of applications (e.g., an application required to be received by the 20th of the month must be postmarked by the 15th of that month); or (b) sent by professional overnight delivery service to the addressee not later than one working day before the date specified for receipt of applications. ''Postmarked'' means a printed, stamped or otherwise placed impression (exclusive of a postage meter machine impression) that is readily identifiable, without further action, as having been supplied or affixed on the date of mailing by an employee of the U.S. Postal Service. Therefore, you should request the postal clerk to place a legible hand cancellation ''bull's eye'' postmark on both the receipt and the package. Failure to adhere to these instructions will be a basis for a determination that the application was not filed timely and will not be considered. Evidence of timely submission by a professional overnight delivery service must be demonstrated by equally reliable evidence created by the delivery service provider indicating the time and place of receipt.

D. INTERGOVERNMENTAL REVIEW

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

E. FUNDING RESTRICTIONS

All proposed project costs must be necessary and reasonable and in accordance with Federal guidelines. Determinations of allowable costs will be made in accordance with the Cost Principles, now found in the Office of Management and Budget's Uniform Administrative Requirements, Cost Principles, and Audit

Requirements for Federal Awards (Uniform Guidance), codified at 2 CFR Part 200 and at 2 CFR Part 2900 (Uniform Guidance-DOL specific). Compensation, including salaries, must be handled consistent with the Uniform Guidance, including 2 CFR 200.430. Disallowed costs are those charges to a grant that the grantor agency or its representative determines not to be allowed in accordance with the Cost Principles or other conditions contained in the grant. Applicants, whether successful or not, will not be entitled to reimbursement of pre-award costs.

1. Indirect Costs

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

Option 1: You may use a NICRA or Cost Allocation Plan (CAP) supplied by the Federal Cognizant Agency. If you do not have a NICRA/CAP or have a pending NICRA/CAP, and in either case choose to include estimated indirect costs in your budget, at the time of award the Grant Officer will release funds in the amount of 10 percent of salaries and wages to support indirect costs. Within 90 days of award, you are required to submit an acceptable indirect cost proposal or CAP to your Federal Cognizant Agency to obtain a provisional indirect cost rate. (See Section IV.B.2. Project Budget for more information on NICRA submission requirements.)

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

2. Intellectual Property Rights

Pursuant to 2 CFR 2900.13, to ensure that the Federal investment of DOL funds has as broad an impact as possible and to encourage innovation in the development of new learning materials, the grantee will be required to license to the public all work created with the support of the grant under a Creative Commons Attribution 4.0 (CC BY) license. Work that must be licensed under the CC BY includes both new content created with the grant funds and modifications made to pre-existing, grantee-owned content using grant funds.

This license allows subsequent users to copy, distribute, transmit, and adapt the copyrighted Work and requires such users to attribute the Work in the

manner specified by the grantee. Notice of the license shall be affixed to the Work. For general information on CC BY, please visit https://creativecommons.org/licenses/by/4.0.

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

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

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

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

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

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

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

3. Grant Recipient Training

Grantees are required to participate in all ETA training activities related to grantee orientation, financial management and reporting, performance reporting, product dissemination, and other technical assistance training as appropriate during the grant period. These sessions may occur via conference calls, virtual events such as webinars, and in-person meetings. Applicants should budget for at least two staff members to attend up to two in-person events in Washington, D.C. during the life of the grant.

4. Use of Grant Funds for On-the-Job Training

For the purposes of grants awarded under this FOA, the following will apply: Organizations may only use grant funds to reimburse a portion of the apprentice's wages in OJT for small employers (50 or fewer employees). For those businesses that have more than 50 employees, grant funds may not be used to reimburse OJT costs.

Under this FOA, OJT is provided under a contract with an employer in the private non-profit or private sector. Under the OJT contract, the employer pays wages to the apprentice and occupational training is provided for the apprentice in exchange for the reimbursement to the employer of a percentage of the apprentice's wage rate to compensate for the employer's extraordinary costs of training the individual (subject to the policy exceptions described below). The OJT contract must not be with an employer who has previously exhibited a pattern of failing to provide OJT to apprentices with continued long-term employment with wages, benefits, and working conditions that are equal to those provided to regular employees who have worked a similar length of time and are doing the same type of work. The OJT contract must be limited to the period of time required for an apprentice to become proficient in the occupation for which the training is being provided. Funds provided to employers for OJT must not be used to directly or indirectly assist, promote, or deter union organizing.

The following are additional restrictions for OJT:

a) Participant placements may only occur in private for-profit and

nonprofit sectors (i.e., the grant does not allow for public sector placements);

b) No placement may be made in staffing agencies providing workers on a temporary basis to employers for which the agency receives compensation from an employer; and

c) The period of reimbursement should be of an adequate length to ensure the participant has acquired the technical skills needed for employment, but no longer than 12 months. Individuals may not be co-enrolled in other ETA programs for the purpose of extending OJT beyond 12 months. Grantees may establish contracts that will be longer than 12 months for multiple participants; however, the reimbursement for each individual that participates in OJT cannot be longer than 12 months.

For grants awarded under this FOA, the negotiated reimbursement percentage may be as high as 50 percent of the participant's hourly wage for employers with 50 or fewer employees. We also encourage grantees to negotiate lower rates or variable rates (such as starting at the maximum allowable reimbursement rate and reducing the subsidy over time), where possible, to ensure that the maximum number of apprentices will be served by the project.

Finally, grantees must develop sound OJT contracts. The contract process sets the ground rules for OJT with an employer and assists in making the determination if an employer is eligible to provide an OJT opportunity. The contract must include the Federally-required elements of an OJT agreement; however, states, counties, or municipalities may have additional OJT contract requirements. Contracts also outline the terms and conditions that the employer and OJT provider agree to provide for an OJT experience. Contracts with an employer can be set up for a specific period of time but need not necessarily specify the individual trainees to whom they apply. This allows the employer to provide training to more than one trainee. If an employer only has one position or plans to limit the training experience to one employee, then a contract must also include the individual trainee's information. For these grants, contracts must provide that the employer is responsible for documenting skills gained by apprentices during the training period. It should also include a description of how the reimbursement level was determined.

For guidance on Federally-required elements of an OJT, sample templates, and other resources, grantees may access ETA's online technical assistance related to an OJT contract on workforceGPS.org at the following web address: https://businessengagement.workforcegps.org/announcements/2018/01/09/20/48/OJT-Toolkit-Available.

5. Use of Funds for Supportive Services

Grantees may use up to 10 percent of grant funds to provide supportive services to individuals who are participating in education and training activities provided through the grant. Under this FOA, supportive services for training apprentices include services such as transportation, child care, dependent care, housing, and needs-related payments that are necessary to enable an individual to participate in education and training activities funded through this grant. Grantees may provide supportive services in various ways, including, but not limited to, providing the supportive service itself (e.g., childcare); providing apprentices with a voucher for the service (e.g., public transportation cards or tokens); or providing a stipend directly to the apprentice. Where stipends for supportive services are provided, the stipend amount must be for costs of a specific supportive service (e.g., childcare), rather than simply based on an unidentified need. For the purposes of this FOA, grantees may use grant funds, up to the percentage specified above, to provide supportive services only to individuals who are participating in education and training activities provided through the grant, and only when: 1) they are unable to obtain such services through other programs, and 2) such services are necessary to enable individuals to participate in education and training activities under the grant.

Grantees 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. Grantees 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 grantees to identify other sources of funding for supportive services, including through co-enrolling in WIOA.

6. Use of Funds for Incentive Payments to Collect Employment Outcomes

For purpose of this FOA, grantees may use up to 1.5 percent of grant funds for the provision of gift cards or other payments to apprentices for providing information on their employment status after they leave the program, for the purposes of increasing reported employment and retention outcomes to the Department. These incentive payments must be tied to the goals of the grant. Grantees must have policies and procedures in place governing the awarding of incentive payments, and any incentive payments provided under this grant must comply with these organizational policies.

7. Grant Profit

For all grant recipients and sub-recipients, the earning of profit is not an allowable cost item. Earnings above actual costs incurred are to be treated as program income. Any program income earned must be used for program purposes.

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

Criterion	Points (maximum)
1. Statement of Need (See Section IV.B.3.a.(1) Statement of Need)	8
2. Expected Outcomes, and Outputs (See Section IV.B.3.a.(2) Expected Outcomes and Outputs)	34
3. Project Design (See Section IV.B.3.a.(3) Project Design)	44
4. Organizational, Administrative, and Fiscal Capacity (See Section IV.B.3.a.(4) Organizational, Administrative, and Fiscal Capacity)	6
5. Past Performance – Programmatic Capability (See Section IV.B.3.a.(5) Past Performance – Programmatic Capability)	4
6. Budget and Budget Justification (See Section IV.B.2. Project Budget)	4
TOTAL	**100**

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" (i.e., IV.B.3.a.(1) Statement of Need). Each of these "section headers" of the Project Narrative 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.

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

TABLE 1:

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, distribution among industries/occupations, representation among new and expanded apprenticeship programs, and/or other relevant factors. The Grant Officer may consider any information that comes to his/her attention.

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

2. Risk Review Process

Prior to making an award, ETA will review information available through various sources, including its own records and any OMB-designated repository of government-wide eligibility qualification or financial integrity information, such as Federal Awardee Performance and Integrity Information System (FAPIIS), Dun and Bradstreet, and "Do Not Pay." Additionally, ETA will comply with the requirements of 2 CFR Part 180 codified by DOL at 29 CFR Part 98 [Government-wide Debarment and Suspension (Non-procurement)]. This risk evaluation may incorporate results of the evaluation of the applicant's eligibility (application screening) or the quality of its application (merit review). If ETA determines that an award will be made, special conditions that correspond to the degree of risk assessed may be applied to the award. Criteria to be evaluated include:

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

NOTE: As part of the Employment and Training Administration's Risk Review process, The Grant Officer will determine:

- 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 Training and Employment Guidance Letter (TEGL) 23-15.

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

All applicants must submit the following information (suggested template below) for ETA to assess the applicant's Financial System. Applicants may use the suggested template or answer the questions in a separate attachment. This information will be taken into account as one component of ETA's Risk Review Process. 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.

U.S. DEPARTMENT OF LABOR -EMPLOYMENT AND TRAINING ADMINISTRATION (ETA)
FUNDING OPPORTUNITY ANNOUNCEMENT: FINANCIAL SYSTEM ASSESSMENT

SECTION A: PURPOSE

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.

(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.

(2) Entries in accounting records should refer to subsidiary records and/or documentation which support the entry and which can be readily located.

(3) The accounting system should provide accurate and current financial reporting information.

(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.

SECTION B: GENERAL

1. Complete the following items:

a. When was the organization founded/incorporated *(month, day, year)*	b. Principal officers Titles
c. Employer Identification Number:	
d. Number of Employees Full Time: Part Time:	

2. Is the organization affiliated with any other organization: Yes ◯ No ◯
If yes, please provide details as to the nature of the company (for profit, non-profit, 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. *(12 months)*
$

SECTION C: ACCOUNTING SYSTEM

1. Has any Government Agency rendered an official written opinion concerning the adequacy of the accounting system for the collection, identification and allocation of costs under Federal contracts/grants? Yes ◯ No ◯

a. If yes, provide name, and address of Agency performing review:

b. Attach a copy of the latest review and any subsequent correspondence, clearance documents, etc.

Note: If review occurred within the past three years, omit questions 2-8 of this Section and Section D.

2. Which of the following best describes the accounting system: State administered ◯ Internally Developed ◯ Web-based ◯

3. Does the accounting system identify the receipt and expenditure of program funds separately for each contract/grant?	Yes ◯	No ◯	Not Sure ◯
4. Does the accounting system provide for the recording of expenditures for each grant/contract by the component project and budget cost categories shown in the approved budget?	Yes ◯	No ◯	Not Sure ◯
5. Are time distribution records maintained for an employee when his/her effort can be specifically identified to a particular cost objective?	Yes ◯	No ◯	Not Sure ◯
6. If the organization proposes an overhead rate, does the accounting system provide for the segregation of direct and indirect expenses?	Yes ◯	No ◯	Not Sure ◯
7. Does the organization have an approved indirect cost rate or cost allocation plan?	Yes ◯	No ◯	Not Sure ◯

If so, who approved it (Federal Cognizant Agency or a Pass-through Entity)? What are the effective dates?

8. Does the accounting/financial system include budgetary controls to preclude incurring obligations in excess of:

a. Total funds available for a grant?	Yes ◯	No ◯	Not Sure ◯
b. Total funds available for a budget cost category (e.g. Personnel, Travel, etc)?	Yes ◯	No ◯	Not Sure ◯
9. Does the organization have an internal control structure that would provide reasonable assurance that the grant funds, assets and systems are safeguarded?	Yes ◯	No ◯	Not Sure ◯

SECTION D: FINANCIAL STABILITY

1. Is there any legal matter or an ongoing financial concern that may impact the organization's ability to manage and administer the grant? Yes ◯ No ◯
If yes, please explain briefly.

SECTION E: FINANCIAL STATEMENTS

1. Did an independent certified public accountant (CPA) ever examine the financial statements? Yes ◯ No ◯

2. If an independent CPA review was performed, please attach a copy of their latest report and any management letters issued. Enclosed ◯ N / A ◯

3. If an independent CPA was engaged to perform a review and no report was issued, please provide details and an explanation below:

SECTION F: ADDITIONAL INFORMATION

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

VI. AWARD ADMINISTRATION INFORMATION

A. AWARD NOTICES

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

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

B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

1. Administrative Program Requirements

All grantees will be subject to all applicable Federal laws 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:

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

b. Appeal – This program is authorized under section 414(c) of the American Competitiveness and Workforce Improvement Act of 1998 (ACWIA), as amended (codified at 29 USC 2916a). Therefore, appeal under sections 186 of the Workforce Investment Act or the Workforce Innovation and Opportunity Act is not available.

c. All entities must comply with 29 CFR Part 93 (New Restrictions on Lobbying), 29 CFR Part 94 (Governmentwide Requirements for Drug-Free Workplace (Financial Assistance)), 29 CFR Part 98 (Governmentwide Debarment and Suspension, and drug-free workplace requirements), and, where applicable, 2 CFR Part 200 (Audit Requirements).

d. 29 CFR Part 2, subpart D—Equal Treatment in Department of Labor Programs for Religious Organizations; Protection of Religious Liberty of Department of Labor Social Service Providers and Beneficiaries.

e. 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.

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

g. 29 CFR Part 35—Nondiscrimination on the Basis of Age in Programs or Activities Receiving Federal Financial Assistance from the Department of Labor.
h. 29 CFR Part 36—Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance.
j. 29 CFR Parts 29 and 30—Labor Standards for the Registration of Apprenticeship Programs, and Equal Employment Opportunity in Apprenticeship and Training, as applicable.
k. DOL 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.
l. Standard Grant Terms and Conditions of Award—see the following link: https://www.doleta.gov/grants/resources.cfm

2. Other Legal Requirements

a) Religious Activities

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

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

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

c) Transparency Act Requirements

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

- Except for those excepted from the Transparency Act under sub-paragraphs 1, 2, and 3 below, you must ensure that you

have the necessary processes and systems in place to comply with the subaward and executive total compensation reporting requirements of the Transparency Act, should they receive funding.

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

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

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

d) Safeguarding Data Including Personally Identifiable Information (PII)

Applicants submitting applications in response to this FOA must recognize that confidentiality of PII and other sensitive data is of paramount importance to the Department of Labor and must be observed except where disclosure is allowed by the prior written approval of the Grant Officer or by court order. By submitting an application, you are assuring that all data exchanges conducted through or during the course of performance of this grant will be conducted in a manner consistent with applicable Federal law and TEGL NO. 39-11 (issued June 28, 2012). All such activity conducted by ETA and/or recipient(s) will be performed in a manner consistent with applicable state and Federal laws.

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

1. You must ensure that PII and sensitive data developed, obtained, or otherwise associated with DOL/ETA funded grants is securely transmitted.
2. To ensure that such PII is not transmitted to unauthorized users, all PII and other sensitive data transmitted via e-mail or stored on CDs, DVDs, thumb drives, etc., must be encrypted using a Federal Information Processing Standards (FIPS) 140-2 compliant and

National Institute of Standards and Technology (NIST) validated cryptographic module. You must not e-mail unencrypted sensitive PII to any entity, including ETA or contractors.

3. You must take the steps necessary to ensure the privacy of all PII obtained from participants and/or other individuals and to protect such information from unauthorized disclosure. You must maintain such PII in accordance with the ETA standards for information security described in TEGL NO. 39-11 and any updates to such standards we provide to you. Grantees who wish to obtain more information on data security should contact their Federal Project Officer.
4. You must ensure that any PII used during the performance of your grant has been obtained in conformity with applicable Federal and state laws governing the confidentiality of information.
5. You further acknowledge that all PII data obtained through your ETA grant must be stored in an area that is physically safe from access by unauthorized persons at all times and the data will be processed using recipient-issued equipment, managed information technology (IT) services, and designated locations approved by ETA. Accessing, processing, and storing of ETA grant PII data on personally owned equipment, at off-site locations, (e.g., employee's home), and non-recipient managed IT services, (e.g., Yahoo mail), is strictly prohibited unless approved by ETA.
6. Your employees and other personnel who will have access to sensitive/confidential/proprietary/private data must be advised of the confidential nature of the information, the safeguards required to protect the information, and that there are civil and criminal sanctions for noncompliance with such safeguards that are contained in Federal and state laws.
7. You must have policies and procedures in place under which your employees and other personnel, before being granted access to PII, acknowledge their understanding of the confidential nature of the data and the safeguards with which they must comply in their handling of such data, as well as the fact that they may be liable to civil and criminal sanctions for improper disclosure.
8. You must not extract information from data supplied by ETA for any purpose not stated in the grant agreement.
9. Access to any PII created by the ETA grant must be restricted to only those employees of the grant recipient who need it in their official capacity to perform duties in connection with the scope of work in the grant agreement.
10. All PII data must be processed in a manner that will protect the confidentiality of the records/documents and is designed to prevent unauthorized persons from retrieving such records by computer, remote terminal or any other means. Data may be downloaded to, or maintained on, mobile or portable devices only if the data are encrypted using NIST validated software products based on FIPS 140-

2 encryption. In addition, wage data may only be accessed from secure locations.

11. PII data obtained by the recipient through a request from ETA must not be disclosed to anyone but the individual requestor, except as permitted by the Grant Officer or by court order.
12. You must permit ETA to make onsite inspections during regular business hours for the purpose of conducting audits and/or conducting other investigations to assure that you are complying with the confidentiality requirements described above. In accordance with this responsibility, you must make records applicable to this Agreement available to authorized persons for the purpose of inspection, review, and/or audit.
13. You must retain data received from ETA only for the period of time required to use it for assessment and other purposes, or to satisfy applicable Federal records retention requirements, if any. Thereafter, you agree that all data will be destroyed, including the degaussing of magnetic tape files and deletion of electronic data.

e) Record Retention

You must follow Federal guidelines on record retention, which require 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 200.333-.337 for more specific information, including information about the start of the record retention period for awards that are renewed quarterly or annually, and when the records must be retained for more than three years.

f) Use of Contracts and Subawards

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

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

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

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

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

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

g) Closeout of Grant Award

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

3. Other Administrative Standards and Provisions

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

4. Special Program Requirements

a) ETA Evaluation

As a condition of grant award, grantees are required to participate in an evaluation, if undertaken by DOL. The evaluation may include an implementation assessment across grantees, an impact and/or outcomes analysis of all or selected sites within or across grantees, and a benefit/cost analysis or assessment of return on investment. Conducting an impact

analysis could involve random assignment (which involves random assignment of eligible participants into a treatment group that would receive program services or enhanced program services, or into control group(s) that would receive no program services or program services that are not enhanced). We may require applicants to collect data elements to aid the evaluation. As a part of the evaluation, as a condition of award, grantees must agree to: (1) make records available to the evaluation contractor on participants, employers, and funding; (2) provide access to program operating personnel, participants, and operational and financial records, and any other pertaining documents to calculate program costs and benefits; (3) in the case of an impact analysis, facilitate the assignment by lottery of participants to program services (including the possible increased recruitment of potential participants); and (4) follow evaluation procedures as specified by the evaluation contractor under the direction of DOL, including after the period of operation.

After award, grantees will receive detailed guidance on ETA's evaluation methodology, including requirements for data collection. Grantees will receive technical assistance to support their participation in these activities.

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. Specifically, grantees are required to propose goals for the seven outcome categories and three outputs identified in Section IV.B.3.a.(2) Expected Outcomes and Outputs, which are specific to this FOA, and report data to the Department in accordance with these outcome goals.

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 45 days after the end of each calendar year quarter. On the final Financial Status Report, you must include any subaward amounts so we can calculate final indirect costs, if applicable. You must use DOL's Online Electronic Reporting System and information and instructions will be provided to grantees. For other guidance on ETA's financial reporting, reference Training and Employment Guidance Letter (TEGL) 02-16 and our webpage at https://www.doleta.gov/grants/financial_reporting.cfm.

2. Quarterly Performance Reports

You must submit a quarterly progress report within 45 days after the end of each calendar year quarter. This report includes a quarterly narrative report that details all grant activities that occurred during the quarter, as well as a quarterly performance report, which is produced online using a data file upload function that contains participant records. In order to submit these quarterly reports, the grantee will be expected to track and report on certain participant-level data to ETA, including Social Security Numbers (SSNs), on all individuals who are provided grant-funded services. The SSN information allows ETA to efficiently match employment data from state unemployment insurance and other wage records. Thus, the collection of participant SSNs lessens the burden on grantees in tracking exit-based employment measures (WIOA Primary Indicators of Performance), while permitting consistent and reliable outcome information to be produced regarding the program. Performance reporting for these grants will align with the WIOA performance reporting requirements.

The last quarterly progress report will serve as the grant's Final Performance Report. This report must provide both quarterly and cumulative information on the grant activities. It must summarize project activities, employment outcomes and other deliverables, and related results of the project, and must thoroughly document the training or labor market information approaches that you used.

We will provide you with an online reporting system, along with detailed formal guidance about the data and other information that is required to be collected and reported, on either a regular basis or a special request basis. Applicants may view the current OMB-approved reporting requirements that will apply to these grants, OMB Control No. 1205-0521. As noted above, these grants will align with WIOA performance reporting requirements, including the online reporting system. Grantees must agree to meet DOL reporting requirements.

VII. AGENCY CONTACTS

For further information about this FOA, please contact Ariam Ferro, Grants Management Specialist, Office of Grants Management, at (202) 693-3968. Applicants should e-mail all technical questions to ferro.ariam@dol.gov and must specifically reference FOA-ETA-18-08, and along with question(s), include a contact name, fax and phone number. This Announcement is available on the ETA Web site at https://www.doleta.gov/grants and at https://www.grants.gov.

VIII. OTHER INFORMATION

A. WEB-BASED RESOURCES

DOL maintains a number of web-based resources that may be of assistance to applicants. These include the CareerOneStop portal

(https://www.careeronestop.org), which provides national and state career information on occupations; the Occupational Information Network (O*NET) Online (https://online.onetcenter.org), which provides occupational competency profiles; and America's Service Locator (https://www.servicelocator.org), which provides a directory of our nation's American Job Centers (formerly known as One-Stop Career Centers).

B. APPRENTICESHIP RESOURCES

- Presidential Executive Order: Expanding Apprenticeship in America: **https://www.whitehouse.gov/presidential-actions/3245/**
- DOL Apprenticeship Web Site: **https://www.dol.gov/apprenticeship/** and **https://www.apprenticeship.gov/**

C. INDUSTRY COMPETENCY MODELS AND CAREER CLUSTERS

ETA supports an Industry Competency Model Initiative to promote an understanding of the skill sets and competencies that are essential to an educated and skilled workforce. A competency model is a collection of competencies that, taken together, define successful performance in a particular work setting. Competency models serve as a starting point for the design and implementation of workforce and talent development programs. To learn about the industry-validated models, visit the Competency Model Clearinghouse (CMC) at 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.

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, health care, 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 the US Department of Labor'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. See Appendix C for more information.

E. WORKFORCEGPS RESOURCES

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

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

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

We created a technical assistance portal at https://www.workforcegps.org/resources/browse?id=b8dd0aa1ecfb4b2282d6cd30c7248790 that contains online training and resources for fiscal and administrative issues. Online trainings available include, but are not limited to, Introduction to Grant Applications and Forms, Indirect Costs, Cost Principles, and Accrual Accounting.

IX. OMB INFORMATION COLLECTION

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

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

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

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

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

Signed July 18, 2018, in Washington, D.C. by:
Brinda Ruggles

Grant Officer, Employment and Training Administration

APPENDIX A: LIST OF H-1B INDUSTRIES

The Scaling Apprenticeship Through Sector-Based Strategies grants will fund projects that support well-paying, middle- and high-skilled jobs across the entire range of H-1B industries.

Applicants should review the below list of industries that are using H-1B visas to hire foreign workers to assist your program alignment. H-1B Industries that are using a significant number of visas to hire foreign workers include:

- IT and IT-related industries
- Healthcare
- Advanced Manufacturing
- Financial Services
- Educational Services

These are the H-1B industries that we have identified as permissible for applicants to target under this grant competition. Applicants that propose to train apprentices in occupations that fall outside of these industries must provide data showing that they are occupations for which a significant number of H-1B visas have been certified. This may be shown by using the data provided on DOL's Foreign Labor Certification Data Center Web site.

To view specific occupations for which H-1B visas have been certified, visit the Department of Labor's Foreign Labor Certification Data Center Web site (http://www.foreignlaborcert.doleta.gov/performancedata.cfm) and select the "Data Disclosure" tab for the latest database of occupations approved under H-1B petitions.

APPENDIX B: PRE-APPRENTICESHIP TRAINING RESOURCES

Grant funds may be used to support quality pre-apprenticeship programs (as defined in the WIOA DOL-Only Final Rule, Sec. 681.480 at https://www.gpo.gov/fdsys/pkg/FR-2016-08-19/pdf/2016-15975.pdf). These programs include the YouthBuild model, which provides the opportunity for training, not just in the construction industry, but also in many other in-demand H-1B industries that lead to middle- to high-skilled occupations, such as health care, information technology, advanced manufacturing, and logistics. Other models for pre-apprenticeship are acceptable as well. Pre-apprenticeship programs offer strategies that can serve as on-ramps to apprenticeship opportunities, as long as the training is on a career pathway that leads to middle- to high-skilled occupations.

Further guidance on quality elements of pre-apprenticeships may be found in Training and Employment Notice 13-12 (https://wdr.doleta.gov/directives/attach/TEN/TEN_13-12.pdf). The TEN informs the public workforce system and stakeholders about the pre-apprenticeship program definition and quality framework, as well as promotes tools and materials to improve the consistency and quality of pre-apprenticeship programs.

The YouthBuild program or similar pre-apprenticeship pathway programs can also serve as a referral source for apprentices for these grants, as such programs provide the initial credentialing and soft skills that will be necessary to sufficiently upskill apprentices into middle- to high-skilled occupations. Please note that YouthBuild programs that receive funding from the U.S. Department of Labor meet the quality pre-apprenticeship requirements outlined in WIOA's DOL-Only Final Rule. For more information about YouthBuild programs, please refer to the following website: http://doleta.gov/Youth_services/Youth_Build.cfm.

APPENDIX C: OPEN EDUCATIONAL RESOURCES (OER)

Open educational resources are freely accessible, openly licensed documents and media that are useful for teaching, learning, assessment, and research.

SkillsCommons (https://www.skillscommons.org)
The US Department of Labor' Trade Adjustment Assistance Community College and Career Training (TAACCCT) program has created a free and open online library, called SkillsCommons, which contains free and open learning materials and program support materials for job-driven workforce development. The OER in SKillsCommons are produced by community colleges across the nation, and can be found, reused, revised, retained, redistributed, and remixed by individuals, institutions, and industry.

- **Finding Materials in SkillsCommons**: Information on how to browse for materials in SkillsCommons is available here: http://support.skillscommons.org/home/discover-reuse/finding-materials/ For assistance finding a wide range of OER collections, please see:: http://support.skillscommons.org/home/discover-reuse/finding-more-oers/

- **Professional Development: Industry Experts Becoming Expert Instructors (IE2EI)** http://support.skillscommons.org/connect/impact-communities/ie2et/ The Industry Expert to Expert Instructor (IE2EI) IMPACT Community on SkillsCommons.org has produced free online videos, tools, and resources featuring exemplary teaching practices that educational institutions can easily adopt and adapt to produce successful transitions of industry experts into expert teachers.

  For example, the IE2EI New Faculty Development Course is a free and user-friendly mini-course that provides essential information and guidance on classroom management, assessment and evaluation, engaging students, and other topics to support industry experts with strong content knowledge but little-to-no classroom teaching experience: http://support.skillscommons.org/showcases/open-courseware/teacher-training/ie2ei-course/

  - **The IE2EI Network** (http://voices.merlot.org/group/ie2et-impactcommunity) supports workforce development programs across all industry sectors to prepare industry experts to become excellent teachers. Join the online community forums for the IE2EI at the MERLOT Voices website, a collection of over 100 online communities forums led by a wide range of individuals and groups.

- **Apprenticeships Showcase: Design for Success with SkillsCommons** http://support.skillscommons.org/showcases/apprentices-resources/

SkillCommons has created a collection of free and open educational resources supporting work-based learning and apprentices programs. To date, the site has compiled resources in the following industries/occupational areas: Welding, Health care, HealthIT, and Industrial Technology. Each compilation includes the following types of materials: guidelines for the design of apprenticeship programs, instructional materials for apprenticeship programs, a Career One Stop occupational profile, and a link to DOL's Registered Apprenticeship Programs in the specific industry area.

TAACCCT Program Finder (https://www.careeronestop.org/taaccct)
This site provides information about education and training programs funded by the Trade Adjustment Assistance Community College and Career Training (TAACCCT) Program. Applicants may find this site useful for identifying TAACCCT grantees who have developed resources related to apprenticeships, including programs of study, courses, projects, and program support material.

APPENDIX D: NATIONAL OCCUPATIONAL FRAMEWORKS

The U.S. Department of Labor has contracted with the Urban Institute to develop voluntary, consensus-based National Occupational Frameworks (NOFs) to help employers and sponsors develop, and apprenticeship officials evaluate, new apprenticeship programs. These NOFs were developed in partnership with employers, sponsors, expert workers, educators, subject matter experts, trade associations, labor organizations, and licensing bodies to ensure that they meet the needs of a broad range of companies and organizations and enable industry-wide acceptance of apprenticeship training. For more information, please visit: https://www.urban.org/policy-centers/center-labor-human-services-and-population/projects/competency-based-occupational-frameworks-registered-apprenticeships.

The NOFs identify core job functions, competencies, and performance criteria that meet the needs of most employers who sponsor apprentices in a given occupation. To date, the NOFs approved by the Department include:

- Community Health Worker
- Medical Records and Health Information
- Cyber Security Support Technician
- Information Technology Generalist
- Medical Assistant

You may download a copy of the National Occupational Framework template to help create your own apprenticeship, using the following link:
https://innovativeapprenticeship.org/national-occupational-frameworks-2/

For detailed information on the components of a National Occupational Framework, please see "The National Occupational Frameworks: A Technical Guide to Structure and Content, Draft 3.0 (January 2017)," which is found here: http://innovativeapprenticeship.org/wp-content/uploads/2017/02/NOF-tech-guide-with-appendices_revised.pdf

APPENDIX E: SUGGESTED PERFORMANCE OUTCOME MEASURES TABLE

A.	Apprenticeship Employment & Training Apprentice Performance Outcomes		
1	**Total apprentices served** Total number of all apprentices served (receiving a grant-funded service and/or grant-funded education/training) in pre-apprenticeship and apprenticeship programs. Figures provided for total apprentices served include all individuals who receive a grant-funded service, after they are determined eligible to be served by the program.	Year 1: Year 2: Year 3: Year 4:	**Total:**
2	**Total apprentices that are hired by an employer and enrolled in an apprenticeship education/training program** The total apprentices enrolled in education/training activities should not exceed total apprentices served.	Year 1: Year 2: Year 3: Year 4:	**Total:**
3	**Total apprentices who complete an apprenticeship education/training program**	Year 1: Year 2: Year 3: Year 4:	**Total:**
4	**Total apprentices who complete an apprenticeship education/training program and receive a degree or other credential**	Year 1: Year 2: Year 3: Year 4:	**Total:**
5	**Total number of unemployed and underemployed apprentices prior to enrollment who complete an apprenticeship education/training program and maintain their employment status with a current or new employer** Incumbent Workers should not be included in this outcome.	Year 1: Year 2: Year 3: Year 4:	**Total:**
6	**Total number of incumbent worker apprentices who complete an apprenticeship education/training program and advance into a new position** This includes incumbent workers who advanced into a new position with their current employer or a new employer following the completion of a training program. Incumbent workers who did not advance into a new position (i.e., who retained their existing position or layoff aversion) following the completion of a training program should not be included in this outcome.	Year 1: Year 2: Year 3: Year 4:	**Total:**
7	**Average hourly wage of apprentices at completion of apprenticeship education/training program**	Year 1: Year 2:	**Total:**

	This is the participant's average hourly wage earned when they are placed into unsubsidized employment upon completion of the apprenticeship program.	Year 3: Year 4:	
B.	**Expanding Apprenticeship Program Outputs**		**Total:**
1	**Total number of newly created apprenticeship programs, including Registered Apprenticeship programs**	Year 1: Year 2: Year 3: Year 4:	
2	**Total number of employers engaged (i.e., those employers that adopt apprenticeship programs as a result of your grant project)**	Year 1: Year 2: Year 3: Year 4:	**Total:**
3	**Total number of expanded apprenticeship programs, including Registered Apprenticeship (e.g., new industries, occupations or service areas, or increasing the number of apprentices registered)**	Year 1: Year 2: Year 3: Year 4:	**Total:**

Please Note:

- Applicants should provide targets in raw numbers; percentages or other types of data projections are not acceptable.
- Applicants should provide targets for each year of the grant and for the total grant period. The figure provided for the total should equal the sum of the projections for each year.
- While applicants are required to propose goals for the seven outcome categories identified in Section IV.B.3.a.(2) Expected Outcomes and Outputs, which are specific to this FOA, they will also be required to report outcomes in alignment with outcomes identified in WIOA, as applicable.

APPENDIX F: SUGGESTED PROJECT WORK PLAN FORMAT

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

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

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

APPENDIX G: SUGGESTED ABSTRACT FORMAT

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

SCALING APPRENTICESHIP THROUGH SECTOR-BASED STRATEGIES	
Lead Applicant Organization's Name:	
Lead Applicant Entity Type:	
Lead Applicant City/State:	

APPRENTICESHIP PARTNERSHIP

Required Partners:
This includes at least one high-level representative from private industry that represents the sector or industry in which the applicant is proposing to take apprenticeships to scale. This required private sector partner must consist of:

- One or more national industry/trade associations; or
- A consortium of at least five businesses representing an industry sector.

- **IF one or more national industry/trade associations**

Name of the national industry/trade association(s):	Industry Sector

- **OR IF a consortium of at least five businesses representing an industry sector**

Organization Names of Required Partners:	Entity Type	Industry Sector

Optional Partners:
These include organizations functioning as workforce intermediaries, such as workforce development boards, labor-management organizations, community-based 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; YouthBuild Programs; community organizations that provide social support and/or wrap-around services; State Apprenticeship Agencies; foundations and philanthropic organizations; and Federally-funded programs.

Organization Names of Optional Partners:	Entity Type	Industry Sector

Proposed Service Areas: (where apprentices will initially be trained)		
Total Funding Requested:		
Total Matched Funds:		
Project Title/Name:		
Summary of Program Activities and List of Credentials to be Awarded:		
Targeted Population(s) to be Served:		
Targeted H-1B Industry Sector(s):		
Targeted Occupations within an H-1B industry sector:		
Public Contact Information:	Name, Title: Address: Phone Number: Email Address:	