Apprenticeship


Updated October 22, 2021

<table>
<thead>
<tr>
<th>Contents</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Questions</td>
</tr>
<tr>
<td>Allowable and Required Grant Activities</td>
</tr>
<tr>
<td>Grant Performance and Outcomes</td>
</tr>
<tr>
<td>Reporting Requirements</td>
</tr>
</tbody>
</table>
General Questions

1. Where can I find a copy of the funding announcement (Training and Employment Guidance Letter [TEGL] No. 15-19) for the State Apprenticeship Expansion 2020 (SAE 2020) grants?

TEGL No. 15-19 provides grantees with key information on grant requirements, funding restrictions, expected outcomes, and reporting requirements. The TEGL can be found here: https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=7875.

2. What is the period of performance for SAE 2020 grants?

The period of performance for the SAE 2020 grants is 36 months starting in July 2020 and extending through June 2023. This performance period includes all necessary implementation and startup activities.

3. What are the two types of SAE 2020 grants?

The Employment and Training Administration (ETA) awarded Tier I and Tier II SAE 2020 grants under the name “Building State Capacity to Expand Apprenticeship through Innovation”.

**Tier I:** Baseline Goals and Activities: The 42 states and territories that met the application requirements received a base amount of funding ($450,000 for states and $300,000 for U.S. territories) to engage in activities to strengthen the structures supporting Registered Apprenticeship Programs (RAPs) in their state or territory.

**Tier II:** Innovation Goals and Activities: ETA awarded 12 states as much as $9 million if their application demonstrated improvements and innovations to RAPs in their state that spread the RAP model, developed infrastructure, and impacted other significant policy issues. Tier II states had to apply for the Tier I funding to be eligible.

For more information on Tier I and Tier II required goals and activities, see Appendix III in TEGL No. 15-19.

4. What resources are available to help SAE 2020 grantees implement their projects?

Each SAE 2020 grantee has been assigned a grant support team, which consists of the federal project officer (FPO), a Registered Apprenticeship subject matter expert (SME), and a technical assistance (TA) coach. The TA coach is contracted through Maher & Maher. This grant support team provides comprehensive support in areas of grant management, program and apprentice registration, and implementation of project goals. In addition, the Maher & Maher TA coach is a resource to grantees as they implement their grant projects through access to peer-to-peer...
learning opportunities and additional tools and promising practices. ETA provides a number of resources on its Apprenticeship webpage (http://www.apprenticeship.gov) and maintains a community at https://apprenticeship.workforcegps.org/, which houses key resources and tools to support expansion of Registered Apprenticeship Programs.

There is also a State Apprenticeship Grants Community (https://ase.workforcegps.org) that provides grant-specific information and tools.

5. Can I make modifications to the terms of my grant agreement? What is the process?

Grantees can request modifications to the terms of the grant agreement. The modification information outlined in the ETA Grantee Handbook (p. 32) describes the general process, which can vary slightly based on the individual circumstances. Modification requests are submitted to the FPO, who in turn works with the Program Office (PO) and grant officer to review and process the modification.

6. Whom do I ask if I have questions about my grant or need technical assistance?

Each grantee has a grant support team you can reach out to for help. You must include your grant number in any correspondence with the Office of Apprenticeship (OA) and your FPO. Direct your request based on the table below.

<table>
<thead>
<tr>
<th>Contact</th>
<th>Topic</th>
</tr>
</thead>
<tbody>
<tr>
<td>TA coach</td>
<td>• Organizational structure and staffing</td>
</tr>
<tr>
<td></td>
<td>• State leadership, policy, and partnerships</td>
</tr>
<tr>
<td></td>
<td>• Outreach and business engagement</td>
</tr>
<tr>
<td></td>
<td>• Expanding capacity to launch, develop, and manage programs</td>
</tr>
<tr>
<td></td>
<td>• Building a pipeline of apprentices and increasing diversity</td>
</tr>
<tr>
<td></td>
<td>• Aligning with career pathways and post-secondary education</td>
</tr>
<tr>
<td></td>
<td>• Logic model refinement, expansion framework conceptualization</td>
</tr>
<tr>
<td>FPO</td>
<td>• Clarifications of the SAE 2020 funding opportunity announcement (FOA)</td>
</tr>
<tr>
<td></td>
<td>• and ASE TEGL, including definitions</td>
</tr>
<tr>
<td></td>
<td>• Statement of work (SOW) modifications</td>
</tr>
<tr>
<td></td>
<td>• Fiscal questions, allowable expenditures, and budget</td>
</tr>
<tr>
<td></td>
<td>• Quarterly Reports; quarterly performance outcomes against targeted outcomes</td>
</tr>
<tr>
<td></td>
<td>• Other policy and grant management questions as they arise</td>
</tr>
<tr>
<td></td>
<td>• Quarterly reporting questions</td>
</tr>
<tr>
<td>Apprenticeship subject matter expert</td>
<td>• Apprenticeship-related program questions</td>
</tr>
<tr>
<td></td>
<td>• Program standards and registering programs</td>
</tr>
<tr>
<td></td>
<td>• Coordinate activities with FPOs when and where possible</td>
</tr>
</tbody>
</table>
7. How can I stay current on SAE 2020 grant policies and technical assistance?

OA provides updates on SAE 2020 grant policies via the State Apprenticeship Expansion 2020 (SAE 2020) Grant Resources page on WorkforceGPS. Such grant policy updates are also included in the Performance Reporting FAQs document.

Apprenticeship Connections is a monthly newsletter for SAE 2020 grantees. It is the main source of ongoing communication regarding technical assistance, grant management, and reporting news. It often contains policy announcements and helpful grants management guidance.

Make sure that you keep OA apprised of any changes in your authorized representative and POCs indicated on the SF-424 included with the application—as policy and technical assistance email communications from OA and Maher are addressed to those contacts. (You can submit any changes to apprenticeship.grants@dol.gov; please include your grant number in the subject line).

Finally, join the online Apprenticeship and State Apprenticeship Grants Communities for alerts when new SAE 2020 or general apprenticeship content is added. You will find the "Join Community" link on each community's landing page. The site is a good starting place to look for resources to address any TA needs you have. You will find new and critical information on
8. Does the Stevens Amendment require grantees to include the proportion of funds that came from federal grants and the names of those grants on all print outreach materials (like 1-pagers or flyers where space is tight), or would a link to where to find that information online be sufficient?

The grant agreement provides sample language to use to meet this requirement. Grantees may follow that language as a guide to what is required. Stating exact proportions is not required.


### Allowable and Required Grant Activities

9. What activities are allowable under the SAE 2020 Tier I grant?

All grantees must use Tier I base funding to address the following three required baseline goals and activities:

1. National Apprenticeship System Building. States and territories must spend base funding on developing structures that ensure that all RAPs in the state have the features of high-quality apprenticeship described in 29 *Code of Federal Regulations* (CFR) parts 29 (Subpart A) and 30. [TEGL 15-19](#) provides specific information on these activities for State Apprenticeship Agency (SAA) and OA states.

2. System Alignment for Apprenticeship Expansion. States and territories must spend base funding to build statewide capacity to increase the number and quality of Registered Apprenticeships through stronger alignment with the education and workforce systems. Activities must demonstrate coordination with secondary education career and technical education programs, local workforce development programs, and post-secondary educational institutions. [TEGL 15-19](#) provides examples of these activities.

3. Improving Data Sharing and Data Integrity. States and territories must commit to improving data sharing and data integrity regarding registration activities. [TEGL 15-19](#) provides examples of these activities.

10. What is OA’s vision for improving data sharing and data integrity of Registered Apprenticeships?

[TEGL No. 15-19](#) provides several examples of these activities. Examples of activities include:
• Adoption of the Registered Apprenticeship Partners Information Management Data System (RAPIDS) as the state’s case management system for registration activities.

• Completion of the infrastructural steps necessary for the state to enter a memorandum of understanding regarding the sharing of data on RAPs and registered apprentices that provides the equivalent disaggregated data that is available to the U.S. Department of Labor (DOL) via RAPIDS. Grantees will provide this data quarterly in an individual record format agreed upon between OA and the grantee. Grantees will upload the data to RAPIDS via an SAA data upload portal, wherein the submitted data will be stored in RAPIDS and incorporated into DOL public and internal reporting (i.e., in RAPIDS data dashboards and canned reports).

• In accordance with adoption of the preceding item, creation or updating of state data collection systems that allow better tracking of apprentices and apprenticeship programs in the state to match the depth of individual record-level data already recorded in the RAPIDS case management system.

• Outreach to employers to encourage listing of Registered Apprenticeship opportunities on the Finder app.

• Participation in quarterly DOL RAPIDS group data reviews/validation sessions (RAPIDS Weeks) to verify and clean up existing data.

• Participation in weekly RAPIDS Power User Group meetings to collaborate on improving the RAPIDS user experience and data governance.

11. What are the requirements for licensing intellectual property under Creative Commons Attribution 4.0 for SAE 2020 grants?

As indicated in Grant Requirements: Open Licensing and Intellectual Property, any intellectual property developed under a competitive award process must be licensed under a Creative Commons Attribution 4.0 (CC BY 4.0) license, which allows subsequent users to copy, distribute, transmit, and adapt the copyrighted work and attribute the work in the manner specified by the recipient.

The Creative Commons FAQs provide additional information regarding the attribution requirements for State Apprenticeship Expansion (SAE), Apprenticeship State Expansion (ASE), and SAE 2020 grantees.

12. Are SAE 2020 grantees required to serve participants with Tier I grant funds?

Direct participant services are not a required activity for Tier I grants. Grantees who included participant services as part of their SOW must strive to fulfill those commitments or request a modification with their FPO. If a state proposed to serve participants under Tier I, and that target was tied to receiving funding under Tier II, and Tier II money was not awarded, the state should discuss options with their FPO.
13. What is the definition of participant for SAE 2020 grant projects?

As indicated in the Performance Reporting Reference Guide, a participant is an individual who has received a grant-funded service after being determined eligible for the program. Grant-funded services may include but are not limited to services such as training supported through grant funds, supportive services, and on-the-job learning.

14. Can SAE 2020 grant funds be used to pay for participant wages?

No. It is prohibited for SAE 2020 grant funds to pay participant wages directly. However, SAE 2020 grant funds can be used to reimburse employers up to 50 percent of the wage rate of the participant in compensation for the initially lowered productivity of the individual and greater training need. See TEGL No. 15-19, p. 37.

15. Can you serve someone as a “participant” in a state expansion grant (e.g. pay for OJL or RTI) if that person has already been reported as an “other individual impacted” in another state expansion grant?

An individual can only count toward the target outcome numbers for one state apprenticeship expansion grant. Grantees that are using grant funds from one state apprenticeship grant to develop RAPS and grant funds from another state apprenticeship grant to pay for OJT, RTI, and/or supportive services for apprentices that enter those programs must be careful to only report those apprentices only once. For instance, in a scenario where a person enrolls in a RAP created using ASE grant funds and then receives RTI paid for by SAE 2020 grant funds, the state must decide whether to report that individual as an “other individual impacted” under ASE OR as a participant under SAE 2020. Grantees can describe these situations in their quarterly narrative.

16. Can SAE 2020 grant funds be used to support the development of pre-apprenticeship programs?

Yes. Grantees may use SAE 2020 funds to build pathways to Registered Apprenticeship, including quality pre-apprenticeships and career pathway programs as defined in Training and Employment Notice No. 13-12. The framework for pre-apprenticeship programs is outlined in Appendix 1, pages 4-5, of TEGL 15-19.

Grantees may not report pre-apprentices as participants or count them against performance goals until they become registered apprentices.

See SAE 2020 Grantee Orientation webinar on Workforce GPS.
17. Once a pre-apprentice becomes a registered apprentice, can we count them toward our goals?

Yes, grantees may report pre-apprentices as participants and count them toward meeting performance goals after they register into RAPs.

See Workforce GPS: Apprenticeship Grants Performance Reporting.

18. Can SAE 2020 grant funding be used to hire staff to support grant projects?

Yes. TEGL No. 15-19 requires applicants to submit a staffing plan and reflect those plans in their proposed budget. Grantees are reminded that SAE 2020 grant funds are subject to the salary and bonus limitations described in TEGL No. 05-06.

19. What is co-enrollment, and how can we pursue co-enrollment strategies?

Co-enrollment is defined as enrolling a participant in more than one grant program, contract, or cooperative agreement that is funded with apprenticeship appropriated funds, and where they are receiving grant, contract, or cooperative agreement-funded participant services. Co-enrollment services can include training (such as related technical instruction and OJL/on-the-job training), supportive services, and other activities supported by ETA funds. Co-enrollment is intended to maximize the number of resources available to participants in apprenticeship and other job training programs, while minimizing duplication of services. Co-enrollment is for the benefit of the participant and should only be used when one grant does not have enough resources to cover the participant’s needs.

See the Co-enrollment Policy FAQs document and the Co-enrollment Webcast for more details and co-enrollment strategies. These FAQs do not apply to H-1B-funded apprenticeship grants, including American Apprenticeship Initiative grants (see Apprenticeship Connections, August 2020).

20. Can grant funds be used to subcontract with a workforce system partner or partners at the state or local level to perform data tracking and reporting functions?

Yes, but oversight of the grant, data tracking, and reporting should always be at the prime grantee level.
21. How does ETA measure the success of the SAE 2020 grants?

The success of the SAE 2020 grants is measured by how well the grantee is expanding the national Registered Apprenticeship system through baseline activities that improve states’ and territories’ ability to serve, improve, and strategically scale the RAP, along with how well the state is using innovations aimed at using RAPs as a tool for developing the economy and building infrastructure. Success is demonstrated by meeting expected performance outcome goals as identified in the grantee’s SOW.

See SAE 2020 Grantee Orientation webinar on Workforce GPS.

22. What are the required performance outcomes?

Tier I grantees must demonstrate progress in the following three required baseline goals and activities.

- National Apprenticeship System Building. Developing structures that ensure that all RAPs in the state have the features of high-quality apprenticeship described in 29 CFR parts 29 and 30.
- System Alignment for Apprenticeship Expansion. Building statewide capacity to increase the number and quality of apprenticeships through stronger alignment with the education and workforce systems.
- Improving Data Sharing and Data Integrity. Improving data collection and sharing and data integrity.

Grantees must reach agreement with DOL on how they will report performance under this list of activities.

**Tier II ONLY** Innovation Goals and Activities: In alignment with the goals and activities identified in the Tier II narrative, applicants must identify measurable performance outputs and outcomes for each goal and activity selected. Performance outputs and outcomes must be clearly defined and measurable. Note: Grantees must reach agreement with the Department on how they will report performance. Upon award, the Department will work with grantees to ensure performance outputs and outcomes are clearly defined and measurable.

See TEGL No. 15-19.

23. What are the requirements for Tier II state apprenticeship five-year plans?

Grantees that received a Tier II grant of more than $6 million must develop a state apprenticeship five-year plan. The SOW includes a timeline for development and integration of a five-year state Registered Apprenticeship expansion plan, including key partners who will be involved in the
process. Grantees who developed plans through the Apprenticeship Accelerator grants (TEGL No. 19-15) should ensure they are effectively integrating and/or expanding those plans as a result of these funds. They should also ensure state plan development is reflected in the project work plan, including identifying target dates for the development, integration, and submission of a final outline and final plan submitted to DOL. States and territories must commit to submitting a final outline for DOL approval at the end of year one, with a final plan submitted to DOL for approval six months prior to the end of the grant.

### Reporting Requirements

#### 24. What are the reporting requirements for the SAE 2020 grant?

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. For other guidance on ETA’s financial reporting, reference TEGL No. 02-16 and this webpage [https://www.doleta.gov/grants/financial_reporting.cfm](https://www.doleta.gov/grants/financial_reporting.cfm).

2) Quarterly Reports. Grant recipients must submit a Quarterly Report within 45 days after the end of each calendar year quarter. This report includes a Quarterly Narrative Report (QNR) that details all grant activities that occurred during the quarter (provides an analysis of the industry sectors and occupations participating in Registered Apprenticeship, summarizes progress against grant goals, and updates the work plan to include key goals and milestones for the coming year), as well as a Quarterly Performance Report (QPR).

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

The table below provides the due dates for each reporting quarter throughout the period of performance. Reports not submitted by the due date will be considered late and not in compliance with grant requirements. Due dates are fixed, regardless of the day of the week on which they fall.

<table>
<thead>
<tr>
<th>Quarterly Report Due Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Due Date</strong></td>
</tr>
<tr>
<td>May 15, 2021</td>
</tr>
<tr>
<td>August 14, 2021</td>
</tr>
<tr>
<td>November 14, 2021</td>
</tr>
</tbody>
</table>
ETA encourages grantees to review the DOL ETA Performance Reporting page for general performance reporting guidance and updates which may affect your upload.

See TEGL No. 15-19, p. 48.

25. Where can I find detailed information about reporting?

Several resources are available to help ASE grantees submit accurate grant reports and troubleshoot common reporting challenges:

- SAE 2020 Grants Reporting Resources
- Apprenticeship Grants Performance Reporting, which includes a link to the Performance Reporting Reference Guide and Performance Reporting FAQs.

26. What is the Quarterly Narrative Report (QNR), and how is it submitted?

The QNR is a written report that reflects grant program activities and successes that complement the quantitative data reported on the QPR. Grantees can also report information that is not reflected on the QPR and identify TA needs and/or grant program highlights from the latest reporting quarter. Grantees submit QNRs within 45 days following the end of the quarter for the duration of the period of performance.

An information collection request (ICR) was approved that allows grantees to be added to the joint QNR format. With this approval, SAE 2020 grantees can submit and certify their QNR’s in WIPS starting with the quarter ending on September 30, 2021. For more information regarding this update and updated report templates, please see the Revised Reporting Webinar presentation.

27. Do grantees have to use the Word document template provided through their program community on Workforce GPS to submit the QNR?

Grantees are strongly encouraged to use the Suggested Quarterly Narrative Performance Report Template provided by ETA.

28. What is the Quarterly Performance Report (QPR), and how it is submitted?

The QPR is a snapshot of the grant’s participants, services, and outcomes.

The QPR is a secure electronic upload of participant activity and must be submitted and certified by grantees in WIPS each quarter. It is important to note that the QPR and data elements were designed to serve existing programs and also programs that may exist in the future. Grantees
can report participants only in Registered Apprenticeship and in pre-apprenticeship activities that lead to Registered Apprenticeship.

The QPR will be generated from the participant data provided by grantees each quarter. Participant data are submitted in WIPS using a data file that is uploaded into the system. The data file must be in .csv, .txt, or .gzip format. OA strongly recommends using the .csv format.

Reporting instructions and other reporting resources for both the QPR and individual records are available on the State Apprenticeship Grants Community here: https://ase.workforcegps.org/Performance-Reporting

29. Do SAE 2020 Tier I grantees need to submit a Quarterly Performance Report (QPR)?

Tier I grantees only need to submit a QPR if they are directly serving participants with SAE 2020 grant funds. If no participants are being served, grantees are not required to submit the QPR. See Performance Reporting FAQs, p. 18.

30. Where can I find information about reporting and WIPS?

WIPS is an online, password-protected system that allows grantees to upload, certify, and submit their Quarterly Progress Reports to DOL as outlined in your grant agreement and in the funding vehicle. Other WIPS-related information (including system access and system TA) is published here: https://www.dol.gov/agencies/eta/performance/wips.

In December 2020, OA provided grantees with a five-part WIPS training series, which was recorded and published with the associated materials here: https://ase.workforcegps.org/resources/2020/12/15/15/05/Workforce-Integrated-Reporting-System-amp-35-40-WIPS-41-reporting-for-ASE-Grantees.

31. Which individuals should grantees report data on in the Quarterly Performance Report (QPR)?

In the Quarterly Performance Report, grantees should include information only for participants.

A participant is an individual who has received a grant-funded service after being determined eligible for the program. Grant-funded services may include but are not limited to services such as training supported through grant funds, supportive services, and on-the-job learning. Do not include information on individuals receiving services through other grants or through routine state apprenticeship work.

See Apprenticeship Grants Performance Reporting on Workforce GPS and TEGL No. 15-19, Appendix IX.
32. **What is the difference between RAPIDS and WIPS, and do I need access to both?**

RAPIDS and WIPS are two systems built for different purposes. Per the SAE 2020 TEGL (ETA-TEGL-17-18), RAPIDS is not a source for grant-related reporting because of some of these differences. Additionally, RAPIDS is neither a system for management of SAE 2020 grants or other grants, nor a reporting system. All future performance reporting for apprenticeship grants will be via WIPS. Therefore, for the purpose of apprenticeship performance reporting, it is necessary for grantees to develop and/or procure a suitable grants-related system (management information system).

See *Performance Reporting FAQs*, p 4.

33. **How do we report on grant activity funded by other programs?**

Grant activity funded by other programs should be tracked and reported on the ETA-9130 as well as in narrative reports required under those programs. For the apprenticeship expansion grants, we encourage you to report on leveraged resources and co-enrollment efforts in Section V of the Quarterly Narrative Report. See *Apprenticeship Connections, October 2020*.

34. **How do we report on apprenticeship programs developed with grant funds?**

Grantees should provide information about these programs in their quarterly narrative report (and the annual reports for ASE).

As stated on page 3 of the *letter transmitted from your grant officer on July 8, 2020*, “Grantees should report as “other individuals impacted by the grant” individuals who enroll in a registered apprenticeship program developed with grant funds. Grantees may use results reported for both RA participants served by direct funded services reported in WIPS and Registered Apprentices who are reported as “other individuals impacted” to meet minimum participants served goals identified in TEGL 17-19.” Note: OA changed the term “other individuals impacted” to “Reportable Individuals” in a *desk aid* shared in July, 2021. This is the term that will be used going forward.

See the *Performance Reporting Reference Guide*, for more detail.

35. **What is the policy on leveraging resources and shared outcomes among the various ETA-funded apprenticeship initiatives?**

Grantees are encouraged to maximize the use of their resources and minimize duplication of efforts through partnership building, system alignment, and leveraging federal and non-federal sources. ETA-funded apprenticeship initiatives include ASE grants, SAE 2020 grants, and
National Industry and Equity Partners (contracts), and these grantee/contractors may be leveraging and aligning with other ETA-funded or federally funded grant programs.

See TEGL No. 13-16.