Apprenticeship

Apprenticeship State Expansion (ASE) Grants: Frequently Asked Questions (FAQs)

Updated November 1, 2021

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1. **Where can I find a copy of the funding announcement (Training and Employment Guidance Letter [TEGL] No. 17-18) for the Apprenticeship State Expansion (ASE) grants?**

TEGL No. 17-18 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=5113.

2. **What is the period of performance for ASE grants?**

The period of performance for the ASE grant is 36 months starting in July 2019 and extending through June 2022. This performance period includes all necessary implementation and startup activities. See Apprenticeship State Expansion (ASE) Grantee Orientation on WorkforceGPS.

3. **What resources are available to help ASE grantees implement their projects?**

Each ASE 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. This grant support team provides comprehensive support in areas of grant management, program and apprentice registration, and implementation of project goals. You can find details about the roles and responsibilities of each member of your grant support team in the ASE grantee orientation webinar materials.

The Office of Apprenticeship (OA) has contracted with Maher & Maher to provide technical assistance to ASE grantees. This assistance includes a TA coach, facilitated peer-to-peer calls, webinars, trainings, resources, and more. Consult the TA menu of services and the ASE TA orientation webinar for more information.

The Employment and Training Administration (ETA) provides a number of resources on its Apprenticeship webpage (https://www.apprenticeship.gov) and maintains an apprenticeship community (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.
4. 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 and grant officer to review and process the modification.

5. What types of budget changes require a budget modification? From whom do I request one?

The approved budget for the federal award summarizes the financial aspects of the project or program as approved during the federal award process. The grant award approved budget, budget flexibility terms, and §200.308, Revision of Budget and Program Plans, of the Uniform Guidance outline when a budget must be realigned. Please review and consult your FPO whenever there is a question about whether a particular change to the budget warrants a budget realignment. See the ETA Grantee Handbook (p. 36) for more detail.

6. What types of strategy changes require a statement of work (SOW) modification? From whom do I request one?

The SOW includes all program activities as well as the administrative and accountability elements of the grant. There may be a need to adjust/supplement the original SOW. Any such changes must be in line with the original intent of the grant. The SOW should clearly explain the exact procedures and demonstrate how the grantee will meet the requirements on time and within cost limits. Examples of SOW modifications include but are not limited to modifications that request substantive changes in project scope (e.g., an additional industry of training/occupational changes), location of services, performance goals and measurements, and population targets. Based on the type of SOW request, the modification may not be approved. Please consult with your assigned FPO to discuss in detail the specific requested justification(s), requirements, and/or exceptions. See the ETA Grantee Handbook (p. 34) for more detail.

7. 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 OA office and your FPO. Direct your request based on the table below.
<table>
<thead>
<tr>
<th>Contact</th>
<th>Topic</th>
</tr>
</thead>
</table>
| TA coach         | • Organizational structure and staffing  
|                  | • State leadership, policy, and partnerships  
|                  | • Outreach and business engagement  
|                  | • Expanding capacity to launch, develop, and manage programs  
|                  | • Building a pipeline of apprentices and increasing diversity  
|                  | • Aligning with career pathways and post-secondary education  
|                  | • Logic model refinement, expansion framework conceptualization  
|                  | • Customized T/A, based on industry sectors, grantee expertise in establishing registered apprenticeship programs, and knowledge of the state where grantee is providing services |
| FPO              | • Clarifications of the ASE funding opportunity announcement (FOA) and ASE TEGL, including definitions  
|                  | • Modifications  
|                  | • Fiscal questions, allowable expenditures, and budget  
|                  | • Quarterly Reports; quarterly performance outcomes against targeted outcomes  
|                  | • Other policy and grant management questions as they arise  
|                  | • Quarterly reporting questions                                                                                                                                                                      |
| Apprenticeship   | • Apprenticeship-related program questions  
| subject matter    | • Program standards and registering programs  
| expert            | • Coordinate activities with FPOs when and where possible  
|                  | • Keep FPOs apprised of grant-related activity and potential programmatic issues  
|                  | • SMEs should not offer guidance on grants policy, grants management policy, cost allowability issues, performance reporting, or other issues that fall under the responsibility of the FPOs |
| OA staff         | • Overall guidance on apprenticeship grant programs  
|                  | • Approval of program and budget modifications  
|                  | • Clarifications of the SAE FOA and ASE TEGL, including definitions  
|                  | • Policy guidance and interpretation  
|                  | • Grant questions submitted by the FPO on grantee’s behalf  
|                  | • Performance and reporting questions  
|                  | • Coordination with other program offices who administer grants with significant grant-related activity                                                                                                                                                     |
| Other            | • For technical questions related to Workforce Integrated Performance System (WIPS) reporting, use the WIPS Technical Assistance Request form.  
|                  | • If you wish to request a change to your grant point(s) of contact (POC or POCs) or have a policy question, you can contact the national Office of Apprenticeship at Apprenticeship.Grants@dol.gov. Please include your grant number in the subject line of any communication with OA.  
|                  | • For any COVID-related modification requests, FPOs will send the mods through the OA Program Office and Laura Watson, Director, in the OGM National Office.  |
If you are not sure whom to reach out to, start with your FPO and your TA coach, and they will assist.

See the ETA Grantee Handbook (p. 32) for additional information.

8. How does OA issue updates on ASE grant policies and share information about technical assistance opportunities?

OA provides updates on ASE grant policies via email and the State Apprenticeship Grants Community. Such grant policy updates are also included in this FAQs document.

Apprenticeship Connections is a monthly newsletter for ASE 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 ASE or general apprenticeship content is added to the Communities of Practice. You will find the "Join Community" link on each community's landing page. Both sites are rich with content, so they are good starting places to look for resources to address any TA needs you have. You will find new and critical information on the landing pages, and a search function that allows you to look for any specific tools or topics of interest.

9. 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

#### 10. What activities are required, and what others are allowed under the ASE grant?

As stated in [TEGL No. 17-18](#) (p. 6–8), grant funds can cover expenses that support state apprenticeship capacity and state innovation and expansion activities described in the recipient’s grant agreement. The TEGL describes system-level and program-level activities.

The TEGL also includes the following requirements:

- Projects must meet minimum requirements for funded full-time equivalents (FTEs) (see Appendix III, p. 3–4, of [TEGL No. 17-18](#)).
- A portion of grant funds must be used to support participants/apprentices in on-the-job learning (OJL) and related instruction. Eligible participants are persons 16 years of age and older who are not enrolled in an apprenticeship program at the time of initial grant service.
- Up to 10 percent of grant funds may be used to provide supportive services to enrolled participants.

#### 11. Who is eligible for grant-funded services under the ASE grant?

Eligible participants are persons 16 years of age and older who are not enrolled in a Registered Apprenticeship Program at the time of participation. This is to ensure grant funds are generating new apprenticeship opportunities rather than counting individuals already enrolled in a program.

See [TEGL No. 17-18](#), p. 8.

#### 12. Can ASE grant funds be used to pay for participant wages?

No. It is prohibited to use ASE grant funds to pay participants wages directly. However, ASE grant funds can be used to reimburse employers up to 50 percent of the wage rate of the participant in compensation for the initially lower productivity of the individual and greater training need. See [TEGL No. 17-18](#), p. 9.

#### 13. Can ASE grant funds be used to support the development of pre-apprenticeship programs?

Yes. Grantees may use ASE 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](#).
As stated in the letter transmitted from your grant officer on July 8, 2020, pre-apprentices may be reported in the Quarterly Performance Report (QPR) as participants served if they meet the definition of participant, but they do not count toward the performance target as outlined in TEGL No. 17-18.

14. **What are the minimum requirements for grant-funded staff under ASE?**

As noted in Appendix III, p. 3–4, of TEGL No. 17-18, for the duration of the ASE grant, including any possible no-cost extensions and through closeout, projects must include a minimum of:

- Three FTEs, dedicated to the project for allotment levels above $1,000,000;
- Two FTEs, dedicated to the project for allotment levels between $600,001 and $1,000,000; and
- One FTE, not to be split, dedicated to the project for allotment levels less than $600,000.

At least one FTE is required to be 100% dedicated to the grant. Funds cannot be used by a grantee to pay the salary and/or bonus of an individual, either as direct costs or indirect costs, at a rate in excess of Executive Level II as found at https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/2021/executive-senior-level. TEGL No. 17-18 requires applicants to submit a staffing plan and reflect those plans in their proposed budget.

15. **Is there a cap on training reimbursements per participant?**

Grant funds may be used to reimburse employers for extraordinary costs of apprenticeship OJL. Reimbursement can be calculated as up to 50 percent of the apprentice wage. Grantees must document the terms of reimbursement, including the length of time the reimbursement will occur. See TEGL No. 17-18, p. 9.

16. **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).
17. **What are the requirements for licensing intellectual property under the Creative Commons Attribution 4.0 for ASE 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](https://creativecommons.org/faq) provide additional information regarding the attribution requirements for State Apprenticeship Expansion (SAE), ASE, and SAE 2020 grantees.

18. **Does the Work Process Schedule (Appendix A) and/or Related Instruction Outline fall under intellectual property?**

Yes. To reconcile the requirements of both the grant agreement and OA policy, grantees are required to advise all programs developed with grant funds that the Appendix A - Work Process Schedule and Related Instruction Outline (or State Apprenticeship Agency equivalent) affiliated with any program developed with grant funds (rather than the entirety of the Apprenticeship Program Standards themselves) must be licensed in accordance with the grant agreement term, submitted to OA as such with the Quarterly Narrative Report (QNR) following registration, and made available to the public (see [Apprenticeship Connections, September 2020](https://www.dol.gov/etsa/appconn)).

19. **How should grantees spend down multiple grant awards?**

If you have one or more apprenticeship grants (SAE, ASE, and/or SAE 2020, or any other DOL/ETA apprenticeship grant/s), you should not be exhausting funds awarded earlier prior to usage of newer grant funds. Grantees should be operating each grant project and spending down grant funds concurrently in support of each grant’s unique goals, roughly at the same percentage of time elapsed in a grant period of performance. See [Apprenticeship Connections, September 2020](https://www.dol.gov/etsa/appconn).

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. Can ASE grant funds be used to pay for a participant’s union dues?
*NEW

Yes, union dues are an allowable supportive service for participants who are enrolled in training. However, once a participant has completed their training, union dues are no longer an allowable cost.

Grant Goals, Performance, and Outcomes

22. What are the required performance goals for ASE grants, and what strategies can I use to meet them?

Grantees must serve at least the minimum number of participants provided below for their allotment range. ETA encourages applicants to serve more than the minimum thresholds.

<table>
<thead>
<tr>
<th>Allotment</th>
<th>Minimum Participants Served</th>
</tr>
</thead>
<tbody>
<tr>
<td>$400,000–$500,000</td>
<td>225</td>
</tr>
<tr>
<td>$500,001–$750,000</td>
<td>315</td>
</tr>
<tr>
<td>$750,001–$1,000,000</td>
<td>440</td>
</tr>
<tr>
<td>$1,000,001–$2,225,000</td>
<td>800</td>
</tr>
<tr>
<td>$2,225,001–$4,000,000</td>
<td>1,550</td>
</tr>
</tbody>
</table>

*The goals listed above identify the minimum number of new apprentices in Registered Apprenticeship Programs the project must serve during the grant period, based on the funding amount.

See TEGL No. 17-18, p. 8, for more detail.

As stated in the letter transmitted from your grant officer on July 8, 2020, grantees may use results reported for both of the following groups to meet the goal of minimum participants served identified in TEGL No. 17-18:

- Registered Apprenticeship participants served by directly funded services whose results are reported in WIPS, and
- Registered Apprenticeship individuals who are reported as “other individuals impacted.”
  - 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.

Collectively, the totals count toward the required goal for minimum participants served.
Grantees identify additional grant goals in the SOW, which they also need to work toward. These goals include the following indicators of performance:

- Total participants enrolled in a Registered Apprenticeship Program
- Total participants who complete a Registered Apprenticeship Program or education/training program
- Total participants who complete a Registered Apprenticeship Program and receive a degree or other credential
- Total number of participants identified as unemployed, long-term unemployed, or incarcerated prior to enrollment
- Total number of incumbent worker apprentices who complete an apprenticeship education/training program to move into a new position
- Average hourly wage of apprentices at enrollment in a Registered Apprenticeship Program
- Average hourly wage of apprentices at completion of a Registered Apprenticeship Program
- Total number of newly created Registered Apprenticeship Programs (including any other programs developed as a result of Registered Apprenticeship Program efforts)

23. **What is the definition of participant for ASE grants?**

As stated in the letter transmitted from your grant officer on July 8, 2020, a participant is an individual who receives a grant-funded service after a determination of eligibility, and for whom the grantee will collect all relevant data for performance reporting purposes.

To be eligible to be a participant in an ASE grant, individuals must be:

- Sixteen years of age or older;
- Newly enrolled during the ASE grant performance period in a Registered Apprenticeship Program after July 1, 2019; and
- Direct recipients of a grant-funded service.

As also stated in the letter transmitted from your grant officer on July 8, 2020, for the purposes of the ASE grants, TEGL No. 17-18 identifies the following grant-funded services: On-the-Job Training (OJT), On-the-Job-Learning (OJL), Related Technical Instruction (RTI), and supportive services. To be considered a participant, individuals must receive one of the grant-funded services.

Note that for ASE grants, pre-apprentices may be reported in the Quarterly Performance Report as participants served if they meet the definition of participant, but grantees may not count them toward the performance target as outlined in TEGL No. 17-18.
24. If ASE funding is used for supportive services only, can the individual be counted as a participant?

If a participant is (1) determined eligible to participate in the grant program, (2) enrolled in a Registered Apprenticeship Program where non-grant funds support the education and training component, and (3) receiving supportive services paid for with grant funds, this individual can be reported as a participant under the grant. Grant-funded supportive services cannot be provided to individuals that are not determined eligible and not enrolled in education and training activities.

See *Performance Reporting FAQs*, p. 5.

25. What is the definition of grant-funded services for ASE grants?

As stated in the letter transmitted from your grant officer on July 8, 2020, grant-funded services are allowable services applicable to the grantee’s SOW and identified in *TEGL No. 17-18*. These grant-funded services trigger participations:

- Grant-funded services must (1) have an allowable cost for a participant activity, (2) have a cost that is allocable, (3) be of benefit to the participant, (4) be a service which the participant would not have received without benefit of the grant, and (5) be adequately documented (both the expenditure and recipient receipt of service).

- For the purposes of the ASE grants, the TEGL identifies the following grant-funded services: on-the-job training (OJT), OJL, related technical instruction, and supportive services. To be considered a participant, individuals must receive one of the grant-funded services.

Note that although employer outreach, participant outreach, and recruitment activities; program development costs; and eligibility determination are allowable uses of grant funds, they do not qualify as a grant-funded service and do not trigger participation.

26. Who are “other individuals impacted by the grant”?

As stated in the letter transmitted from your grant officer on July 8, 2020, grantees may 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 Registered Apprenticeship participants served by directly funded services reported in WIPS and Registered Apprenticeship individuals who are reported as “other individuals impacted” to meet goals for minimum participants served identified in TEGL No. 17-18. The letter transmitted from your grant officer on July 8, 2020 explains how to report these registered apprentices in your QNR. 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.
27. If a grantee uses grant funds to develop RTI curriculum, can apprentices who enroll in the RTI curriculum be reported as “participants”?

No. This activity does not qualify as a grant-funded participant service because it is not a direct funded service paid for by the grant for that individual.

However, as stated on page 3 of the letter transmitted from your grant officer on July 8, 2020, “Grantees may report as “other individuals impacted by the grant” individuals who enroll in a registered apprenticeship program developed with grant funds.” Using grant funds to develop RTI curriculum is considered “developing an apprenticeship with grant funds”. Grantees may use results reported for both Registered Apprentices 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.

28. 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. 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.
29. If we serve an individual in a pre-apprenticeship program under one state apprenticeship grant, can we serve them as an apprentice under another state apprenticeship grant and count them as a participant?

Per the letter transmitted from your grant officer on July 8, 2020, pre-apprentices may be counted as participants in the QPR if they meet the definition of participant, but will not count toward outcomes. Grantees may co-enroll or sequentially enroll individuals served as pre-apprentices in one state expansion grant in another state expansion grant once they become registered apprentices and count them toward outcomes of the grant paying for RA services.

See the Co-Enrollment Policy FAQs document and the Co-Enrollment Webcast for more details and co-enrollment strategies.

Grant Reporting Requirements

30. What are the reporting requirements for the ASE grant?

All ASE grantees must submit Quarterly Narrative Reports (QNR) and Quarterly Performance Reports (QPR) every quarter through the life of the grant. Quarterly Reports are due to DOL ETA no later than 45 days after the end of each reporting quarter. 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>Due Date</th>
<th>Quarter End Dates</th>
<th>Report Activities Occurring Between</th>
</tr>
</thead>
<tbody>
<tr>
<td>May 15, 2021</td>
<td>March 31, 2021</td>
<td>January 1–March 31, 2021</td>
</tr>
<tr>
<td>August 14, 2021</td>
<td>June 30, 2021</td>
<td>April 1–June 30, 2021</td>
</tr>
<tr>
<td>November 14, 2021</td>
<td>September 30, 2021</td>
<td>July 1–September 30, 2021</td>
</tr>
<tr>
<td>February 14, 2022</td>
<td>December 31, 2021</td>
<td>October 1–December 31, 2021</td>
</tr>
</tbody>
</table>

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 quarter. Grantees must use DOL’s Online Electronic Reporting System.

Additionally, ASE grant recipients are required to submit an Annual Narrative Report on statewide apprenticeship activity. Grantees must provide a report to ETA that provides analysis on the industry sectors and occupations participating in Registered Apprenticeship; progress
against grant goals; and update the workplan to include key goals and milestones for the coming year. If there are changes to the work plan beyond updating activity timelines, the FPO may require you to request a modification (see Apprenticeship Connections, July 2020). The Annual Report is due on July 31 of each year and covers the period from July 1 to June 30 of the preceding year.

ETA encourages grantees to review the performance reporting page on WorkforceGPS for general performance reporting guidance and updates.

### 31. What Is the Quarterly Narrative Report, and how is it submitted?

The QNR is a written report that reflects grant program activities that complement the quantitative data reported on the QPR. Grantees can also report information that is not reflected on the QPR and identify technical assistance 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.

OA provides a suggested format for the QNR. (See https://ase.workforcegps.org/-/media/Communities/ase/files/QNR-Template-ETA9179-7121.ashx)

ASE grantees must submit and certify their QNR's in WIPS starting with the quarter ending on September 30, 2021. For more information regarding this update, please see the Revised Reporting Webinar presentation.

See the Performance Reporting Reference Guide, p. 5, for more detail.

### 32. 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 the Workforce Integrated Performance System (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/resources/2019/10/24/19/59/ASE-Grants-Reporting-Resources.
33. **Where can I find information about the system I must use to report quarterly performance information (WIPS)?**

The Workforce Integrated Performance System (WIPS) is an online, password-protected system that allows grantees to upload, certify, and submit their Quarterly Performance Reports to DOL as outlined in the grant agreement and funding vehicle. Other WIPS-related information (including system access and system TA) is published at [https://www.dol.gov/agencies/eta/performance/wips](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 at [https://ase.workforcegps.org/resources/2020/12/15/15/05/Workforce-Integrated-Reporting-System-amp-35-40-WIPS-41-reporting-for-ASE-Grantees](https://ase.workforcegps.org/resources/2020/12/15/15/05/Workforce-Integrated-Reporting-System-amp-35-40-WIPS-41-reporting-for-ASE-Grantees).

34. **How do I track participant data?**

Grantees are expected to develop/purchase/subscribe to some kind of participant-level data tracking and/or case management system and to appropriately collect and manage any sub-award participant-level data as outlined in the [TEGL No. 17-18](https://www.dol.gov/agencies/eta/teg) and in your grant agreements. The system must have the capability to be updated and to produce the data for upload into the DOL system, and it must have the appropriate protections for personally identifiable information that are required by the grant agreement.

For more information, see the May 2020 webinar [Apprenticeship State Expansion (ASE) Grants: Participant Tracking Strategies](https://ase.workforcegps.org/Performance-Reporting).

Some grantees are developing proprietary participant data-tracking products, but there are a number of other options available to grantees if they don’t want to develop a stand-alone system including partnering with a Workforce Innovation and Opportunity Act (WIOA) reporting agency (DOL/U.S. Department of Education). See [Apprenticeship Connections, February 2020](https://ase.workforcegps.org/Performance-Reporting).

35. **Where can I find information about the data elements I must collect and report on for participants?**

The data elements to be collected can be found on Tab 7 of the Apprenticeship Participant Individual Record Layout (PIRL) Schema spreadsheet, which you can find here: [https://ase.workforcegps.org/Performance-Reporting](https://ase.workforcegps.org/Performance-Reporting).

A webinar explaining these data elements took place on December 8, 2020. You can access the recording [here](https://ase.workforcegps.org/Performance-Reporting).
36. **Where can I find information and resources about performance reporting for ASE grants?**

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

- **ASE Grants Reporting Resources**
- **Apprenticeship Grants Performance Reporting**, which includes a link to the **Performance Reporting Reference Guide** and **Performance Reporting FAQs**

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

Grantees may 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 may 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.

38. **RAPIDS classifies a new occupation for an existing program as an “expansion” not a new program. Can states count both ”RAPIDS=new” + ”RAPIDS=expansion” as ”new” for ASE?**

Yes, a new occupation in an existing program can be counted as a new program for the purposes of ASE performance reporting.

See **Performance Reporting FAQs**.

39. **Do grantees report in WIPS if they don’t have participants?**

No, ASE grantees with participants began uploading data into WIPS for the report due February 15, 2021. Any grantee who is not yet serving participants cannot report in WIPS and must continue to submit an interim QPR report via email. See **Apprenticeship Connections, December 2020**.
40. **We are having trouble getting access to WIOA Title I/II/III/IV data for the Quarterly Performance Report. What strategies do you suggest?**

WIOA Title I/II/III/IV data are tracked by the state agency that administers the federal grant funds for those titles. Your TA coach can assist you in identifying the appropriate agencies in your state. States should work with their partner agencies to gain access to WIOA participant data. The exact approach necessary will depend on the specifics of each state’s management information system. Please see the [Apprenticeship State Expansion Technical Assistance Activity Menu](#) to learn how to work with your TA coach, FPO, and Registered Apprenticeship consultant to explore solutions for your state.

41. **Are we required to report on apprenticeship programs in our state that are not registered?**

No. Grantees not required to submit information on non-registered programs, but grantees may do so at their own discretion along with standard reporting requirements.

42. **Where can I find information about performance reporting for ASE grants?**

Grantees can find more information about performance reporting in the [Performance Reporting FAQs](#).

43. **What are the WIOA titles referenced in Sections E and F of the QPR template (Tab 7) of the PIRL, and how should data be reported?**

WIOA Title I refers to the Adult, Dislocated Worker, and Youth programs. WIOA (not Title I) refers to Title II—Adult Basic Education and Literacy, Title III—Wagner-Peyser Labor Exchange Programs, and Title IV—Vocational Rehabilitation Services. Grantees should provide the number of individuals served by the ASE grant who also receive services from any of these other funding streams. An apprentice may receive services through any of these programs as long as the individual meets the eligibility requirements for that program. For example, a veteran with a disability might receive support services through Title IV—Vocational Rehabilitation Services, which the grantee should count and report on item 2c. See [Apprenticeship Connections, October 2020](#).

44. **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](#).
45. **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.


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### Registered Apprenticeship Strategies

46. **What resources are available to help us develop strategies for apprenticeship expansion?**

As states have become deeply engaged in apprenticeship expansion, ETA has collected key resources for Registered Apprenticeship expansion in five key areas that are positioning states for success. Learn more about each of these elements via the *Elements of Effective Apprenticeship Expansion document* and through their respective resource pages linked below.

- **Element 1: State Leadership and Policy**
- **Element 2: Outreach and Business Engagement**
- **Element 3: Capacity to Launch, Develop, and Manage Programs**
- **Element 4: Development of an Apprenticeship Pipeline and Steps to Increase Diversity**
- **Element 5: Alignment with Career Pathways and Postsecondary Education**

47. **What guidelines should we follow as we develop pre-apprenticeship programs?**

In Training and Employment Notice (TEN) 13-12, ETA provides a definition and quality framework for pre-apprenticeship developed in consultation with stakeholders in the apprenticeship and workforce communities and the public. You can access TEN 13-12 at [https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5842](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5842). States should use this framework to guide their work in expanding pre-apprenticeship programs. TEN 13-12 defines pre-apprenticeship as a program or set of strategies designed to prepare individuals to enter and succeed in a Registered Apprenticeship Program and that has a documented partnership with at least one, if not more, Registered Apprenticeship Program(s). A quality pre-apprenticeship program is one that incorporates the following elements:
48. What return on investment (ROI) information is available to support our communications with businesses?


49. What role can intermediaries play in helping states expand Registered Apprenticeship Programs?

Intermediaries (industry associations, labor and joint labor-management organizations, community-based organizations, community colleges, and others) are playing critical roles in expanding Registered Apprenticeship Programs across the country. They help to scale apprenticeship in multi-employer apprenticeship models and assist employers in starting new programs. These organizations can bring subject matter expertise related to their industries, reduce the burden on individual employers to start apprenticeship programs, and spread risk and cost across a wider range of employers.

Apprenticeship intermediaries can be local, regional, or national in scope. They undertake one or several functions, including:

- Marketing the apprenticeship brand in a state or locality;
- Persuading employers to adopt apprenticeships;
- Aggregating demand for apprentices, particularly with small- and medium-size employers that may not have the capacity to develop an apprenticeship program on their own;
- Helping employers through the design and administrative tasks required to establish an apprenticeship;
- Serving as sponsor of an apprenticeship program, taking responsibility for the administration of the program (thereby reducing the burden on employers); and/or

- Approved training and curriculum;
- Strategies for long-term success;
- Access to appropriate support services;
- Activities or components to promote greater use of Registered Apprenticeship to increase future opportunities;
- Meaningful hands-on training that does not displace paid employees; and
- Facilitated entry into Registered Apprenticeship and/or articulation agreements for earning advanced credit/placement for skills and competencies already acquired.

Grantees can direct questions about pre-apprenticeship to their Registered Apprenticeship consultant and their TA coach.
• Conducting or arranging for the off-the-job training related to the apprenticeship occupation (related technical instruction).

The U.S. Department of Labor recently awarded approximately $22 million in contract investments to 12 Industry Intermediaries to continue the Department’s efforts to expand the number of apprenticeship opportunities in growing sectors across the country, including healthcare, advanced manufacturing, retail, hospitality, construction, and information technology. You can see funded organizations at https://www.apprenticeship.gov/investments-tax-credits-and-tuition-support/active-grants-and-contracts. For assistance in connecting with one of these intermediaries, please contact your TA coach.


50. **How can we strategically align Registered Apprenticeship Programs with the workforce system?**

TEGL No. 13-16 provides information about the new provisions for Registered Apprenticeship in WIOA, including the automatic eligibility status of Registered Apprenticeship sponsors as eligible training providers, membership on state and local workforce boards, the use of WIOA funding to support Registered Apprenticeship, reporting on Registered Apprenticeship activity, and suggestions for coordinating with the Registered Apprenticeship system. You can access TEGL No. 13-16 at https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=9125. The Registered Apprenticeship Toolkit available at: https://apprenticeship.workforcegps.org/resources/2015/04/20/10/20/A_Quick_Start_Toolkit_Building_Registered_Apprenticeship_Programs. This toolkit also has extensive resources to support alignment between Registered Apprenticeship and the workforce system.

51. **How can we leverage WIOA Title I funds to support Registered Apprenticeship Programs?**

WIOA Title I funds can be used to support businesses, job seekers, and apprentices in multiple ways, such as these:

• Supporting the OJT component of apprenticeship programs;
• Paying for the cost of related classroom instruction for the apprentice, including tuition, books, supplies, fees, uniforms, tools, and other required items, through Individual Training Accounts;
• Using customized training and incumbent worker training to support businesses that sponsor apprenticeship programs;
• Providing basic skills training and pre-apprenticeship programs that prepare participants to enter apprenticeship programs; and
• Using WIOA Youth services for tutoring, mentoring, and work experience in combination with pre-apprenticeship and apprenticeship programs.

See TEGL No. 13-16, p. 11.

52. **What other funding is available to support Registered Apprenticeship Programs?**

Federal funding for Registered Apprenticeship Programs is available through several federal agencies to support business investments in apprentices and to assist educators and intermediaries in strengthening the tie between training and employment through Registered Apprenticeship. For more in-depth information on each of these funding sources, visit *The Federal Resources Playbook for Registered Apprenticeship* at http://www.doleta.gov/oa/federalresources/playbook.pdf.