



STATE OF VERMONT
JOINT FISCAL OFFICE

MEMORANDUM

To: Joint Fiscal Committee members
From: Sorsha Anderson, Senior Staff Associate
Date: August 29, 2023
Subject: Grant Request – JFO #3163

Enclosed please find one (1) item, which the Joint Fiscal Office has received from the Administration.

JFO #3163: \$304,977.00 to the Vermont Department of Labor from the U.S. Department of Labor. The Department of Labor, in collaboration with the Department of Education, will use funds to support Registered Apprenticeship Programs (RAPs) and quality pre-apprenticeship programs within the education system to create more diverse and clear pathways to teacher licensure. *[Received August 25, 2023]*

Please review the enclosed materials and notify the Joint Fiscal Office (Sorsha Anderson: sanderson@leg.state.vt.us) if you have questions or would like this item held for legislative review. Unless we hear from you to the contrary by September 21, 2023, we will assume that you agree to consider as final the Governor's acceptance of this request.



State of Vermont
 Department of Finance & Management
 109 State Street, Pavilion Building
 Montpelier, VT 05620-0401

[phone] 802-828-2376
 [fax] 802-828-2428

Agency of Administration

**STATE OF VERMONT
 FINANCE & MANAGEMENT GRANT REVIEW FORM**

Grant Summary:						To support Registered Apprenticeship Programs (RAPs) and quality pre-apprenticeship programs that lead to RAPs.						
Date:						8/1/2023						
Department:						VDOL						
Legal Title of Grant:						Apprenticeship USA Grants FOA-ETA-23-09 Request for Annual Base Funding						
Federal Catalog #:						17.285						
Grant/Donor Name and Address:						US DOL/ETA Washington DC						
Grant Period:			From:			7/1/2023		To:			6/30/2024	
Grant/Donation						\$304,977						
		SFY 1		SFY 2		SFY 3		Total		Comments		
Grant Amount:		\$304,977		\$		\$		\$304,977				
Position Information:			# Positions			Explanation/Comments						
			0									
Additional Comments:						100% Federal Funds						
Department of Finance & Management						Hardy Merrill			Digitally signed by Hardy Merrill Date: 2023.08.07 16:58:41 -04'00'			
Secretary of Administration						Sean Brown			DocuSigned by: (Initial) (Initial) E643164EBC83432...			
Sent To Joint Fiscal Office									Date			

Jason Aronowitz
 Digitally signed by Jason Aronowitz
 Date: 2023.08.01 20:46:09 -04'00'



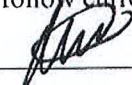
STATE OF VERMONT REQUEST FOR GRANT (*) ACCEPTANCE (Form AA-1)

BASIC GRANT INFORMATION				
1. Agency:				
2. Department:	VT Department of Labor			
3. Program:	Workforce Development			
4. Legal Title of Grant:	Apprenticeship USA Grants FOA-ETA-23-09 Request for Annual Base Funding			
5. Federal Catalog #:	17.285			
6. Grant/Donor Name and Address: US DOL/ETA Washington DC				
7. Grant Period:	From:	7/1/2023	To:	6/30/2024
8. Purpose of Grant: To support Registered Apprenticeship Programs (RAPs) and quality pre-apprenticeship programs that lead to RAPs.				
9. Impact on existing program if grant is not Accepted: Less federal funding for apprenticeship sponsorship and training in the State.				
10. BUDGET INFORMATION				
	SFY 1	SFY 2	SFY 3	Comments
Expenditures:	FY 24	FY	FY	
Personal Services	\$91,200	\$	\$	
Operating Expenses	\$213,777	\$	\$	
Grants	\$	\$	\$	
Total	\$304,977	\$	\$	
Revenues:				
State Funds:	\$0	\$0	\$0	
Cash	\$	\$	\$	
In-Kind	\$	\$	\$	
Federal Funds:	\$304,977	\$	\$	
(Direct Costs)	\$	\$	\$	
(Statewide Indirect)	\$	\$	\$	
(Departmental Indirect)	\$	\$	\$	
Other Funds:	\$	\$	\$	
Grant (source)	\$	\$	\$	
Total	\$304,977	\$	\$	
Appropriation No:	4100500000	Amount:	\$304,977	
			\$	
			\$	
			\$	
			\$	
			\$	
			\$	
		Total	\$304,977	

STATE OF VERMONT REQUEST FOR GRANT (*) ACCEPTANCE (Form AA-1)

PERSONAL SERVICE INFORMATION

11. Will monies from this grant be used to fund one or more Personal Service Contracts? Yes No
 If "Yes", appointing authority must initial here to indicate intent to follow current competitive bidding process/policy.

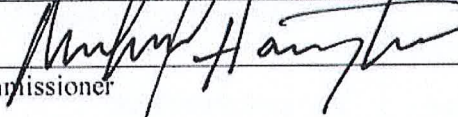
Appointing Authority Name: Michael A. Harrington Agreed by:  (initial)

12. Limited Service Position Information:	# Positions	Title
Total Positions		


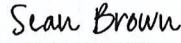
12a. Equipment and space for these positions: Is presently available. Can be obtained with available funds.

13. AUTHORIZATION AGENCY/DEPARTMENT

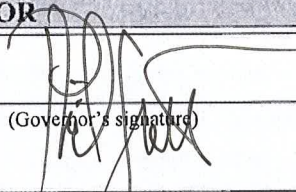
I/we certify that no funds beyond basic application preparation and filing costs have been expended or committed in anticipation of Joint Fiscal Committee approval of this grant, unless previous notification was made on Form AA-1PN (if applicable):

Signature: 	Date: 7/20/2023
Title: Commissioner	
Signature: 	Date:
Title: 	

14. SECRETARY OF ADMINISTRATION

<input checked="" type="checkbox"/> Approved: 	(Secretary or designee signature)	DocuSigned by:  F643164EBC83432...	Date: 8/8/2023
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15. ACTION BY GOVERNOR

<input checked="" type="checkbox"/> Accepted <input type="checkbox"/> Rejected	Check One Box: (Governor's signature) 	Date: 8/24/23
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16. DOCUMENTATION REQUIRED

Required GRANT Documentation

<input type="checkbox"/> Request Memo <input type="checkbox"/> Dept. project approval (if applicable) <input checked="" type="checkbox"/> Notice of Award <input type="checkbox"/> Grant Agreement <input type="checkbox"/> Grant Budget	<input type="checkbox"/> Notice of Donation (if any) <input type="checkbox"/> Grant (Project) Timeline (if applicable) <input type="checkbox"/> Request for Extension (if applicable) <input type="checkbox"/> Form AA-1PN attached (if applicable)
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End Form AA-1

(*) The term "grant" refers to any grant, gift, loan, or any sum of money or thing of value to be accepted by any agency, department, commission, board, or other part of state government (see 32 V.S.A. §5).

PHILIP B. SCOTT
GOVERNOR



State of Vermont
OFFICE OF THE GOVERNOR

April 28, 2023

Brinda Ruggles, Grant Officer
U.S. Department of Labor/ETA
200 Constitution Avenue, N.W.
Washington, DC 20210

Dear Ms. Ruggles:

I'm writing to express my commitment to expanding Registered Apprenticeship Programs (RAPs) in Vermont. The Vermont Department of Labor (VDOL) serves as both the State Workforce Agency and the federally recognized State Apprenticeship Agency. I support VDOL's base formula funding application for the State Apprenticeship Expansion Formula grant. These funds will help Vermont strengthen our teacher preparation pipeline, by using Registered Apprenticeship to create clear career pathways for anyone interested in becoming a licensed educator.

I have consistently sought to expand quality RAPs, and I have championed a cradle to career approach for our education and workforce development systems. VDOL has recently reorganized the administration of the State Apprenticeship Program, catalyzing improvements to program quality and oversight, and expanding outreach to employers and jobseekers. During this legislative session, my Administration is working with key legislative committees to modernize our Registered Apprenticeship statutes.

Vermont's DOL and the Agency of Education are working together to create RAP programs within the education system, and to make needed changes to licensure preparation paths that will include RAPS where they have historically been excluded. With this base formula funding, we will be able to focus on developing and expanding new and more diverse talent pipelines into education, benefiting tens of thousands of children throughout the state.

Thank you for all you do to support apprenticeships nationwide. If you have any questions about my commitment to this grant, or the expansion of Registered Apprenticeships in general, please don't hesitate to contact Jay Ramsey, Interim Director of Workforce Development at the Vermont Department of Labor, at 802-828-4343.

Sincerely,

A handwritten signature in black ink, appearing to read "Philip B. Scott", with a long horizontal line extending to the right.

Philip B. Scott
Governor



Department of Labor

Notice of Award

Award# 23A60AP000039-01-00

FAIN# 23A60AP000039

Federal Award Date: 06/29/2023

Recipient Information

1. Recipient Name

Vermont Department of Labor
5 Green Mountain Dr
PO BOX 488
Workforce Development
Montpelier, VT 05602-2708

2. Congressional District of Recipient
00

3. Payment System Identifier (ID)
1030350861A3

4. Employer Identification Number (EIN)
030350861

5. Data Universal Numbering System (DUNS)
809376759

6. Recipient's Unique Entity Identifier (UEI)
X7ULY9PCPRC7

7. Project Director or Principal Investigator

Jay Ramsey
Director of Workforce Development
jay.ramsey@vermont.gov
802-828-4343

8. Authorized Official

Jay Ramsey
Director of Workforce Development
jay.ramsey@vermont.gov
802-828-4343

Federal Agency Information

ETA Office of Grants Management

9. Awarding Agency Contact Information

Ms. Bria L Wearren
GMS
wearren.bria.l@dol.gov
202-693-3626

10. Program Official Contact Information

Mr. Michael D LaBonte
Workforce Development Specialist
labonte.michael.d@dol.gov
617-788-0108

Federal Award Information

11. Award Number

23A60AP000039-01-00

12. Unique Federal Award Identification Number (FAIN)

23A60AP000039

13. Statutory Authority

Consolidated Appropriations Act, 2022

14. Federal Award Project Title

FOA-ETA-23-09 Request for Annual Base Funding

15. Assistance Listing Number

17.285

16. Assistance Listing Program Title

Apprenticeship USA Grants

17. Award Action Type

New

18. Is the Award R&D?

No

Summary Federal Award Financial Information

19. Budget Period Start Date	07/01/2023	- End Date	06/30/2024
20. Total Amount of Federal Funds Obligated by this Action			\$304,977.00
20a. Direct Cost Amount			\$288,278.00
20b. Indirect Cost Amount			\$16,699.00
21. Authorized Carryover			\$0.00
22. Offset			\$0.00
23. Total Amount of Federal Funds Obligated this budget period			\$0.00
24. Total Approved Cost Sharing or Matching, where applicable			\$0.00
25. Total Federal and Non-Federal Approved this Budget Period			\$304,977.00
26. Period of Performance Start Date	07/01/2023	- End Date	06/30/2024
27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance			\$304,977.00

28. Authorized Treatment of Program Income

ADDITIONAL COSTS

29. Grants Management Officer - Signature

Mrs. Brinda Ruggles
Grant Officer

30. Remarks



Department of Labor

Notice of Award

Award# 23A60AP000039-01-00

FAIN# 23A60AP000039

Federal Award Date: 06/29/2023

<p>Recipient Information</p> <p>Recipient Name Vermont Department of Labor 5 Green Mountain Dr PO BOX 488 Workforce Development Montpelier, VT 05602-2708</p> <p>Congressional District of Recipient 00</p> <p>Payment Account Number and Type 1030350861A3</p> <p>Employer Identification Number (EIN) Data 030350861</p> <p>Universal Numbering System (DUNS) 809376759</p> <p>Recipient's Unique Entity Identifier (UEI) X7ULY9PCPRC7</p>
<p>31. Assistance Type Discretionary Grant</p> <p>32. Type of Award Other</p>

33. Approved Budget (Excludes Direct Assistance)	
I. Financial Assistance from the Federal Awarding Agency Only	
II. Total project costs including grant funds and all other financial participation	
a. Salaries and Wages	\$60,000.00
b. Fringe Benefits	\$31,200.00
c. Total Personnel Costs	\$91,200.00
d. Equipment	\$0.00
e. Supplies	\$0.00
f. Travel	\$15,000.00
g. Construction	\$0.00
h. Other	\$182,078.00
i. Contractual	\$0.00
j. TOTAL DIRECT COSTS	\$288,278.00
k. INDIRECT COSTS	\$16,699.00
l. TOTAL APPROVED BUDGET	\$304,977.00
m. Federal Share	\$304,977.00
n. Non-Federal Share	\$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
0501742223BD202301740024225AP001A0000AATELSAATELS	AP000039PZ1	ETA	410023	17.285	\$304,977.00	01742223BD

AWARD ATTACHMENTS

Vermont Department of Labor

23A60AP000039-01-00

1. Vermont Department of Labor Terms and Conditions

**State Apprenticeship Expansion Formula Grant
Vermont Department of Labor
Conditions of Award AP000039**

As part of the Condition(s) of Award to receiving the State Apprenticeship Expansion Formula Grant, the U.S. Department of Labor (DOL), Employment and Training Administration (ETA) has identified the following area(s) that require further clarification and/or modification.

A response to all Conditions of Award must be submitted to your FPO within 45 days of receipt of this grant award package. Please note that submittal of the required document(s) does not constitute approval by DOL/ETA. A grant modification will need to be submitted and final approval must be given by the Grant Officer (GO). Your Federal Project Officer (FPO) will review the documentation and then submit it to the GO for formal approval as a modification to the grant agreement. Once approved, the revised document(s) will comprise the official modification to this grant agreement and the special conditions will be resolved. Any questions related to the below items must be submitted to your FPO.

Condition 1 – Budget Narrative Clarification (Cost Principles/Valuation)

The Budget Narrative must include enough details for all expenditures to demonstrate their valuations and adherence to the Uniform Guidance Cost Principles. The Budget Narrative must also contain costs per entry in each category which add up to the indicated line-item total with enough information to ascertain whether the represented totals are mathematically accurate.

Specifically, the budget narrative must clarify the following:

- **Other**
- **Travel**
- **Fringe**

The grantee must submit:

- 1) A revised budget narrative which addresses and breaks down the entirety of each line reflected on the SF-424A as outlined above.

To resolve, please submit a revised Budget Narrative with the accompanying SF-424A as a Budget Realignment modification request to your FPO.

Condition 2 – Indirect Cost (Expired ICR)

The current Indirect Cost Rate Agreement expired on 06/30/2023. The recipient must submit its current Negotiated Indirect Cost Rate Proposal (NICRA) or Federally approved Cost Allocation Plan CAP.

If this proposal is not submitted **within 45 days of the effective date of the award**, the grantee will receive funds in the amount of 10 percent of Modified Total Direct Costs to support indirect costs until a signed copy of the federally approved NICRA or CAP is provided and the restriction is lifted by the Grant Officer.

Notice of Requirement for Registration with SAM

A recipient must maintain an active SAM registration with current information 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.

Your SAM registration is set to expire on 09/27/2023.

Please ensure that your SAM registration stays active for the duration of the period of performance of this grant. This condition of award does not require a grant modification for resolution.

PROGRAM COMPLIANCE NOTIFICATION LETTER

State Apprenticeship Expansion Formula Grants

(FOA-ETA-23-09)

Dear State Apprenticeship Expansion Formula (SAEF) Grantee:

Congratulations on your award! You are receiving this Program Compliance Notification Letter, which outlines the programmatic compliance requirements for your State Apprenticeship Expansion Formula Grant (**FOA-ETA-23-09**) also referred to as “**SAEF**”. This notification letter does not include individual programmatic findings from your grant. This letter identifies performance measure outcomes compliance items to be addressed (if applicable), serves as notification of programmatic compliance requirements, and directs grantees on how to ensure adherence to these requirements. As outlined in the grant agreement, the signature of the Authorized Representative on the SF-424 confirms your organization’s acceptance and acknowledgment of programmatic compliance requirements.

This Program Compliance Notification Letter provides information on the following:

- Key required activities grantees must ensure are incorporated into their grant;
- Key activities or costs that are not allowable;
- Performance measure outcome compliance items to be addressed, if applicable;
- Links to existing grantee guidance (such as FAQs, Funding Opportunity Announcement, and administrative/financial trainings); and
- Grantee guidance on performance expectations and reporting mechanisms.

Key Compliance Items of Note

The below list includes key items to note for programmatic compliance. This list is not exhaustive and grantees should refer to the table included below for references to a complete list of programmatic compliance requirements.

SAEF is a new state award that builds on the work of previous state apprenticeship grants focused on capacity building, modernization, and expansion activities. As a new grant, it must be considered a different grant from previously awarded state apprenticeship grants. This grant will have similar activities, but these activities must be kept distinct, both financially and programmatically, from other grants. Guidance provided on earlier grants should not be construed as automatically applicable to this grant. All grant program and financial personnel should read the entire grant agreement upon award.

- **Grants funds can only be used to support Registered Apprenticeship Programs (RAPs) and quality pre-apprenticeship programs that lead to RAPs.** Funding for this opportunity comes from the Consolidated Appropriations Act, 2022, Public Law 117-103, Division H, Title I. This appropriation allows the Department to award funds to “expand opportunities through RAPs only registered under

the National Apprenticeship Act." This means recipients must spend these funds on activities that will create or assist in the creation of RAPs. This program will support the development of new, or the expansion of existing, RAPs, as described in 29 CFR Parts 29 and 30.

Further, pre-apprenticeship programs funded through this grant must directly lead to RAPs during the grant period of performance. Pre-apprenticeship programs funded under this grant should ensure that the skills and competencies being developed align with industry needs. It is allowable and encouraged for pre-apprentice completers to receive grant-funded services in a RAP so they may be a grant participant.

- **Grantees must serve a statewide geographic scope.** The geographic scope is the physical service area in which awarded applicants will serve participants.
- **Eligible participants are individuals at least 16 years old who receive a direct grant-funded service.** To encourage active apprentices to stay in their program and increase retention, grant funds may be used for registered apprentices already enrolled in a RAP. These funds may support new apprentices, new opportunities, retention of registered apprentices and apprentice completion of a RAP.
- **Registered Apprenticeship Programs and Quality Framework for Pre-Apprenticeship Programs.** RAPs and pre-apprenticeships leading to RAP enrollment that are funded and developed under this grant program must align with the requirements outlined below. Requirements are provided under "Program Design/Allowable Activities" on pages 6-7 of the FOA.
- **Any state agency or territory that is not designated as the State Apprenticeship Agency (SAA), but is operating within a federally-recognized SAA, must partner with that SAA.**
- **Funding Requirements:** Grantees must ensure their grants include activities that address the SAEF program goals and incorporate the design elements of requirements for RAPs, quality framework for pre-apprenticeship programs, and the cross-cutting principles of Equity, Good Jobs/Fair Labor Standards, Support for High Quality, Sustainable Programs, and New Opportunities for Innovation, Engagement, and Ease of Access.
- **All grantees are required to have a 5-year plan.** If your state submitted a preliminary plan, final plans must be submitted within 120 days of grant award. The plans must strive for DEIA and workforce system alignment and focus on RAP and/or pre-apprenticeship efforts in support of IJJA, CHIPS Act, and IRA implementation, or target industries in which the Administration is particularly interested.
- **All grantees will propose projects that include the following:**
 - Build Statewide capacity to increase the number and quality of RAPs through stronger alignment with the education and workforce systems.
 - For SAAs, implement data sharing, system change, and governance requirements to comply with 29 CFR Parts 29 and 30 and ensure a strong and modernized Registered Apprenticeship system by promoting the standardization of RAPs and committing to building a unified National Apprenticeship system. This includes sharing of data and

ensuring that quality programs are registered within the State and align with the five key areas of RAPs: OJL, RI, progressive wages, mentoring, and industry-recognized credential attainment to ensure reciprocity across the National Apprenticeship system.

- For SAAs, utilize funds to adopt and fully integrate RAPIDS.

- **Competitively awarded grantees will plan a project that involves a minimum of two activities from this list:**

1. Provide a range of training services that support individuals, particularly from underrepresented populations and underserved communities, enrolled in a RAP, that may include: related instruction reimbursement; on-the-job learning reimbursement; development of curricula and standards for apprenticeship; online and technology-based learning; accelerated and competency-based training that integrates academic and occupational skills training; and apprenticeship training costs and other supportive services.
2. Provide incentive funding to employers to support new or expand existing RAPs in targeted industries in which they are serving.
3. Establish statewide intermediaries or hubs to facilitate industry adoption of RAPs.
4. Provide direct funding for a range of pre-apprenticeship programs that lead directly to a RAP. Includes pre-apprenticeship activities that support underrepresented populations and underserved communities and increase opportunities to create career pathways for youth and adults.
5. Expand RAP opportunities for youth (between the ages of 16 and 24). Includes establishing and expanding partnerships that commit to expanding RAPs and/or pre-apprenticeship programs that lead to RAP enrollment for youth through coordination with industry, workforce intermediaries, labor organization, SEAs and LEAs, community colleges, youth-serving and community-based organizations, and other stakeholders. This can also include designing and launching a Civilian Climate Corps RAP targeted towards youth apprentices that can be piloted by youth and Conservation Corps groups.
6. Assist industries in creating RAPs in lower wage, entry level occupations across industries that are critical to the nation, but currently do not provide strong career pathways or credentials that encourage people to stay and grow.
7. Assist employers in creating a forward-thinking, specialized RAP that embraces available technology, targeted at addressing people with health conditions and impairments.
8. Build stronger partnerships with the State and local workforce system. Additionally, consider ways to align and support the jobs required to implement the Infrastructure Investment and Jobs Act (IIJA), CHIPS and Science Act (CHIPS Act), and the Inflation Reduction Act (IRA). This can include working with employers to increase their awareness of Registered Apprenticeship opportunities in the state and identify opportunities for them to join existing RAPs and/or starting new RAPs.

Please refer to Section I.A. of the SAEF FOA for the list of allowable activities.

- **Use of Grant Funds for Supportive Services:** Grantees may use up to 20 percent of total grant funds to provide supportive services to individuals who are participating in education and training activities provided through the grant, including quality pre-apprenticeship programs. These services may continue after the participant leaves the pre-apprenticeship program and enrolls in a registered apprenticeship program. Under this grant program, supportive services for training participants

include, but are not limited to, services such as transportation, childcare, dependent care, counseling, housing, and other 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 providing the supportive service itself (e.g., childcare); providing participants with a voucher for the service (e.g., public transportation cards or tokens); or providing a stipend directly to the participant.

- **Performance Reporting Requirements:** Grantees are required to adhere to OMB-approved performance reporting requirements. This includes submitting a Quarterly Progress Report containing updates on the implementation and progress specified in the grant's Statement of Work and the status of grant program outcomes for all participants that receive grant-funded services. Performance reporting for these grants aligns with the DOL-Only Performance Accountability Information and Reporting System (OMB Control No. 1205-0521) information collection request, specifically the requirements identified for apprenticeship grants data reporting into the Workforce Integrated Performance System (WIPS). As part of quarterly performance reporting, DOL requires grant recipients to conduct data validation to ensure the validity of data submitted to DOL (see TEGL-23-19 https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=9155).

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.

Each grantee is accountable for reaching their proposed performance targets for the performance outcome measures specified in the FOA. 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.

- **Case Management System:** In addition to appropriate financial management tracking systems to provide accurate financial tracking and reporting, grantees are expected to have their own case management or management information system to utilize for grant participant enrollment, onboarding and tracking during the period of performance, which allows for a .csv file export and upload into the Department's Workforce Integrated Performance Reporting System (WIPS) data files. Before the first reporting due date, grantees must have a WIPS account ready. The WIPS Technical Assistance page, https://www.doleta.gov/performance/wips/WIPS_Technical_Assistance_Request.cfm, will allow you to submit a request to create an account for new WIPS users and to add Apprenticeship to current WIPS accounts. The Program Office will also review this information in the first performance webinar.
- **National Evaluation Participation:** As a condition of grant award, grantees are required to participate in a national 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). See Section VI.B.4.a. of the FOA for more information.

REFERENCES

Consolidated Compliance References	Resource Link	Overview/ Description
FOA-ETA-23-09	https://www.dol.gov/sites/dolgov/files/ETA/grants/State%20Apprenticeship%20Expansion%20Formula_FOA-ETA-23-09.pdf	The Funding Opportunity Announcement for the SAEF grant
Registered Apprenticeship and Pre-Apprenticeship Definitions	https://www.ecfr.gov/current/title-29/subtitle-A/part-29 https://wdr.doleta.gov/directives/attach/TEN/TEN_13-12.pdf	<p>29 C.F.R. § 29 outlines the elements of a registered apprenticeship program.</p> <p>TEN 13-12 details the elements of a quality pre-apprenticeship program.</p>
Frequently Asked Questions for FOA ETA 23-09	https://www.dol.gov/sites/dolgov/files/ETA/grants/SAEF%20Frequently%20Ask%20Questions%20(FAQ).pdf	The Department has posted updated SAEF FOA FAQs online.
Grantee Handbook	https://www.doleta.gov/grants/award_management.cfm	The Grantee Handbook provides guidance on the management of grants throughout the life cycle. Transmitted with the grant agreement to every grantee Authorized Representative and Point of Contact identified on the SF-424.
2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards	https://www.gpo.gov/fdsys/granule/CFR-2014-title2-vol1/CFR-2014-title2-vol1-part200/content-detail.html	Also known as the Uniform Guidance (UG), this is the consolidation of grant management requirements formerly contained in several OMB circulars. The Uniform Guidance encapsulates Federal grant management requirements governing administrative requirements, cost principles, and audit requirements. All grantee personnel should be familiar with the Uniform Guidance

<p>2 CFR 2900 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards:</p>	<p>https://www.gpo.gov/fdsys/granule/CFR-2016-title2-vol1/CFR-2016-title2-vol1-part2900</p> <p>Additional information on the Uniform Guidance can be found at: https://www.doleta.gov/grants/UniformGuidance.cfm.</p>	<p>The Department of Labor's adoption of the Uniform Guidance includes a limited number of exceptions approved by OMB to ensure consistency with existing policy and procedures. Where present, the DOL exceptions take precedence over the general UG. Note, that if the prime grantee elects to utilize sub-awards all UG requirements applicable to the prime grant apply in addition to any others applicable to the sub-award.</p>
<p>Performance Reporting</p>	<p>https://ase.workforcegps.org/Performance-Reporting</p> <p>https://www.dol.gov/agencies/eta/performance/wips</p>	<p>Apprenticeship Performance and Reporting Resources</p> <p>Workforce Integrated Performance System (WIPS)</p>
<p>Financial Reporting</p>	<p>TEGL 2-16 https://grantsapplicationandmanagement.workforcegps.org/-/media/Communities/grantsapplicationandmanagement/Files/PPT-and-Attachments/TEGL_2-16_acc.ashx</p> <p>https://doleta.gov/grants/award_management.cfm</p>	<p>Revised ETA-9130 Financial Report, Instructions, and Additional Guidance. These grants will utilize the BASIC 9130 form.</p> <p>OGM Financial Links. Provides access to the financial reporting system, and payment management system (PMS) for learning opportunities.</p>

Please work with your Federal Project Officer (FPO) to resolve any compliance items or questions related to this Program Compliance Notification Letter.

State Apprenticeship Expansion Formula Grant
TERMS AND CONDITIONS
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Part A: General Award, System for Award Management and Uniform Guidance

A.1 Compliance and the Order of Precedence

The recipient of this Federal award will assure that they will fully comply with the rules and requirements specified in the award document. Program requirements may be found in the Funding Opportunity Announcement (FOA), statutes, Executive Orders, government-wide regulations, agency regulations, agency policy guidance such as Training Employment Guidance Letter (TEGL), and the terms outlined in the award document. The list below identifies the hierarchy of authority.

The following order of precedence applies to your activities under this federal award. In the event of any inconsistency between the terms and conditions of this Notice of Award (NOA) and other requirements, consult the below order:

1. National Apprenticeship Act.
2. Other applicable Federal statutes.
3. Consolidated Appropriations Act 2022 (Public Law 117-103) dated March 15, 2022.
4. Implementing Regulations.
5. Executive Orders and Presidential Memoranda.
6. The Office of Management and Budget (OMB) Guidance, including the Uniform Guidance at 2 CFR (Code of Federal Regulations) parts 200 and 2900.
7. The U.S. Department of Labor (DOL) or Employment and Training Administration (ETA) directives.
8. Terms and conditions of this award.

Notice of Award The funds provided under this Notice of Award (NOA) must be expended according to all applicable Federal statutes, regulations and policies, and the applicable provisions in the appropriations act(s). The funds shall be obligated and expended via a NOA award modification. These obligations and expenditures may not exceed the amount awarded by the NOA modification unless otherwise modified by the ETA.

The funds that are provided under this NOA must be expended according to all applicable Federal statutes, regulations and policies, including those of the Workforce Innovation and Opportunity Act (WIOA), the applicable approved WIOA State Plan (including approved modifications and amendments to the plan), and any waiver plan approved under WIOA Section 189(i)(3) or Workforce Flexibility (Workflex) plan approved under WIOA Section 190, the negotiated performance levels and policies established pursuant to the Secretary's authority under WIOA Section 116, and the applicable provisions in the appropriations act(s).

The funds shall be obligated and allocated via a NOA grant modification. These obligations and expenditures may not exceed the amount awarded by the NOA modification unless otherwise modified by the ETA.

By drawing down funds, your organization as the award recipient agrees to the provisions of 20 CFR 683.820(b)(6), which states:

“Any organization selected and/or funded under WIOA Title I, Subtitle D, is subject to having its award removed if an Administrative Law Judge (ALJ) decision so orders. As part of this process, the Grant Officer will provide instructions on transition and closeout to both the newly selected grant recipient and to the grant recipient whose positions is affected, or which is being removed.”

A.2 Funding Opportunity Announcement

The Funding Opportunity Announcement (FOA)

https://www.dol.gov/sites/dolgov/files/ETA/grants/State%20Apprenticeship%20Expansion%20Formula_FOA-ETA-23-09.pdf is hereby incorporated into this NOA. Award recipients are bound by the authorizations, restrictions, and requirements contained in the FOA. Therefore, the expenditure of funds by the award recipient certifies that your organization has read and will comply with all the parts that are contained in the NOA.

A.3 Approved Statement of Work

This project’s narrative is the approved Statement of Work (SOW). It has been included as Attachment D. If there is any inconsistency between the project narrative and the program statute, appropriation, regulations, Executive Orders, Uniform Guidance, and DOL or ETA directives, the order of precedence (as described in Section 1. above) will prevail.

A.4 Federal Project Officer

The DOL/ETA Federal Project Officer (FPO) for this award is:

Name: Michael Labonte
Telephone: 617-788-0108
E-mail: labonte.michael.d@dol.gov

The individual named above is not authorized to change any of the terms or conditions of the award or approve prior approval requests. Any changes to the terms or conditions or prior approvals must be approved by the Grant Officer through the use of a formally executed award modification process.

A.5 Unique Entity Identifier Requirements

Effective on April 4, 2022, the DUNS Number will be replaced by a new, non-proprietary identifier requested in and assigned by [SAM.gov](https://sam.gov). This new identifier is called the Unique Entity Identifier (UEI), or the Entity ID. To learn more about SAM’s rollout of the UEI, please visit the U.S. General Service Administration (GSA), [Unique Entity Identifier Update webpage](#).

If the grant award or cooperative agreement recipient is authorized to make subawards under this award, then the recipient:

1. Must notify potential subrecipients that no entity (see definitions below) may receive a subaward from the grant award recipient until the entity has provided its UEI to the recipient.
2. May not make a subaward to an entity unless the entity has provided its UEI to the grant or cooperative agreement recipient. Subrecipients are not required to obtain an active SAM registration but must obtain a UEI.

A.6 System for Award Management

System for Award Management (SAM) is the official federal system that collects, validates, stores, and disseminates business information about the federal government's trading partners in support of contract awards, grants, and electronic payment processes.

A SAM registration is required for an entity to be able to apply for federal awards, to request modifications to existing awards, and to enable them to closeout expiring awards. See [Training and Employment Notice \(TEN\) 18-17](#) for additional guidance.

Unless the award recipient is exempt from this requirement under 2 CFR 25.110, the grant award or cooperative agreement recipient must maintain current information in the SAM. This includes information on the recipient's immediate and highest-level owner and subsidiaries, as well as on all of the recipient's predecessors that have been awarded a Federal contract or Federal financial assistance within the last three years, if applicable, until the award recipient submits the final financial report required under this Federal award or receive the final payment, whichever is later.

DOL advises grant award recipients and other awardees of Federal awards such as cooperative agreements registered in SAM to review their registration information, particularly their financial information and points of contact. Assistance is available by contacting the Federal Service Desk at FSD.gov. Grant award or cooperative agreement recipients should contact ETA at ETAAccountingGrants@dol.gov if they find that payments have been paid to a bank account other than their registered bank account.

DOL routinely checks the validity of a grant or cooperative agreement award recipient's SAM registration and verifies that the recipient is not included on the excluded parties list before making an award or approving a modification to an existing award. Failure to have an active SAM registration can delay award recipients from receiving their initial award or requested modifications to their existing awards.

DOL further encourages award recipients to review the expiration date of their SAM registration and begin the renewal process well in advance, to ensure that their registration remains valid. If the award recipient has not logged in and updated its entity registration record within at least the past 365 days, its record will expire and go into inactive status. Timely renewal will ensure that the award recipient can continue to request and receive modifications to their existing grants, as well as apply for new funding opportunities. Further, the EIN numbers must remain active until the award closeout process is fully completed.

A.7 Uniform Guidance Revisions

The Office of Management and Budget issued revisions to 2 CFR parts 25, 170, 183, and 200 (the Uniform Guidance) on August 13, 2020, and February 22, 2021 (technical correction). These revisions became effective November 12, 2020, except for the amendments to 2 CFR 200.216 and 200.340, which were immediately effective on August 13, 2020. The award recipient must operate in compliance with these revised regulations. Please note that the section numbering in the Uniform Guidance has changed in some instances, and this terms and conditions document has been updated accordingly.

A.8 Subawards

A *subaward* means an award provided by a *Pass-Through Entity* (PTE) to a subrecipient for the subrecipient to carry out part of a Federal award received by the PTE. 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 PTE considers a contract.

The provisions of the Terms and Conditions of this award will be applied to any subrecipient under this award. The recipient is responsible for monitoring the subrecipient, ensuring that the Terms and Conditions are in all subaward packages and that the subrecipient complies with all applicable regulations and the Terms and Conditions of this award (2 CFR 200.101(b)).

A.9 Vendor/Contractor Defined

The term “contractor,” sometimes referred to as a vendor, is a dealer, distributor, merchant or other seller providing goods or services that are required to implement a Federal program (see 2 CFR 200.1). These goods or services may be for an organization's own use or for the use of the beneficiaries of the Federal program. Additional guidance on distinguishing between a subrecipient and a contractor (vendor) is provided in 2 CFR 200.331. When procuring contractors for goods and services, DOL/ETA recipients and subrecipients must follow the procurement requirements found at 2 CFR 200.320 (except states, pursuant to 2 CFR 200.317), which calls for free and open competition.

A.10 Technical Assistance, Resources, and Information

Additional resources, training, and information to assist the award recipient are located on the ETA website, [Resources webpage](#) and on the Grants Application and Management collection page on [WorkforceGPS.org](#). [SMART training](#) is a technical assistance initiative sponsored by DOL/ETA to assist its grant and cooperative agreement recipients and subrecipients in improving its program/project operations through effective grants management. Please take some time to review the training modules which are focused on:

Strategies for sound grant management that include:

Monitoring,

Accountability,

Risk mitigation and **T**ransparency.

These four themes are woven throughout the OMB Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, also known as the Uniform Guidance (2 CFR Part 200 and 2 CFR Part 2900). The 508-compliant PowerPoints of the modules may be found on WorkforceGPS.org at the [Resource](#) page.

A.11 Monitoring, Technical Assistance, and Additional Specific Conditions of Award

All grant and cooperative agreement award recipients, including states and territories managing the Unemployment Insurance programs, are subject to 2 CFR 200.208, *Specific conditions*, which indicates that the Federal awarding agency may adjust specific award conditions as needed. A specific condition is based on an analysis of the following factors:

1. Based on the criteria in §200.206, *Federal awarding agency review of risk posed by applicants*;
2. The applicant or recipient's history of compliance with the general or specific terms and conditions of a Federal award;
3. The applicant or recipient's ability to meet expected performance goals as described in 2 CFR 200.211; or
4. A responsibility determination of an applicant or recipient.

Additional Federal award conditions may include items such as the following:

1. Requiring payments as reimbursements rather than advance payments;
2. Withholding authority to proceed to the next phase until receipt of evidence of acceptable performance within a given performance period;
3. Requiring additional, more detailed financial reports;
4. Requiring additional project monitoring;
5. Requiring the non-Federal entity to obtain technical or management assistance; or
6. Establishing additional prior approvals.

Grant and cooperative agreement award recipients may be required to obtain technical or management assistance through an established provider/contractor that has been selected or hired by DOL/ETA that may include in-person or remote assistance.

A.12 Evaluation, Data, and Implementation

Grant and cooperative award recipients must cooperate during the implementation of a third-party evaluation. This means providing DOL/ETA or its authorized contractor with the appropriate data and access to program operating personnel and participants in a timely manner.

A.13 Program Requirements

The FOA contains the program requirements for this award.

Part B: Indirect Costs, Budget and Cost Share (Match)

B.1 Indirect Cost Rate and Cost Allocation Plan

An award recipient that is claiming indirect costs to a Federal award must have a Negotiated Indirect Cost Rate Agreement (NICRA), Cost Allocation Plan (CAP), or elect to utilize the de minimis rate of 10% of modified total direct costs (MTDC). Indirect (facilities & administrative (F&A)) costs are costs incurred for a common or joint purpose that benefit more than one cost objective and are not readily assignable to one cost objective without specifically benefitting effort disproportionate to the results achieved. Direct costs, by contrast, can be identified specifically with a particular cost objective, such as a Federal award, or other internally or externally funded activity that can be directly assigned to such activities relatively easily with a high degree of accuracy. Identification with the Federal award rather than the nature of the goods and services involved is the determining factor in distinguishing direct from indirect (F&A) costs.

If the DOL serves as the Federal Cognizant Agency (FCA) for the award recipient, then the award recipient must work with DOL's Cost & Price Determination Division (CPDD), which has delegated authority to negotiate and issue a NICRA or CAP on behalf of the Federal Government. More information about the DOL's CPDD is available at DOL's Cost & Price Determination Division (CPDD) their [website](#) and provides guidelines to help develop indirect cost rates, links to the applicable cost principles, and contact information. The CPDD also has Frequently Asked Questions to provide general information about the indirect cost rate approval process and due dates for provisional and final indirect cost rate proposals.

If a new NICRA is issued during the award's period of performance, it must be provided to DOL within 30 days of issuance. Funds may be re-budgeted as necessary between direct cost categories as long as they are consistent with the Budget Flexibility term within this agreement, grant requirements, and DOL regulations on prior approval. However, the total amount of the award will not be increased.

- (1) The award recipient has a federally approved NICRA or CAP covering the entirety or a portion of the grant period of performance and it is included as Attachment E. If the NICRA or CAP covers only a portion of the period of performance, a new approved NICRA or CAP will need to be provided for the remaining portion of the period of performance. Once approved, the NICRA or CAP must be submitted to your Federal Project Officer.

- (2) The award recipient has elected to use the De Minimis Rate of 10% of Modified Total Direct Costs (MTDC). To avoid a serious inequity in the distribution of indirect costs, DOL defines MTDC as all direct salaries and wages, applicable fringe benefits, materials and supplies, services, and travel up to the first \$25,000 of each subaward or subcontract (regardless of the period of performance of the subawards and subcontracts under the award).

MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward or subcontract in excess of \$25,000.

See 2 CFR 200.414(f) for more information on use of the de minimis rate. Please be aware that incurred indirect-type costs (such as but not limited to top management salaries, financial oversight, human resources, payroll, personnel, auditing costs, accounting and legal, etc. used for the general oversight and administration of the organization) must not be classified as direct costs; these types of costs are recovered as part of charging the de minimis rate.

To use de minimis, the award recipient must not have a current negotiated (including provisional) rate.

A governmental department or agency unit that receives more than \$35 million in direct Federal funding must submit its indirect cost rate proposal to its cognizant agency for indirect costs and cannot utilize the de minimis rate in accordance with 2 CFR 200.414(f).

De minimis may be used indefinitely. If the award recipient elects to utilize the de minimis rate, this methodology must be used consistently for all Federal awards until such time as the award recipient chooses to negotiate for an indirect cost rate, which the award recipient may apply to do at any time.

(3) The award recipient has claimed indirect costs on the SF-424A; however, an approved NICRA or CAP approved by the FCA was not provided and the award recipient did not elect to utilize the de minimis rate of 10% of MTDC. An approved NICRA or CAP must be submitted to the Grant Officer, or the award recipient must elect to utilize the de minimis rate of 10% of MTDC in order to charge indirect costs to the Federal award.

URGENT NOTICE: Estimated indirect costs have been specified on the SF-424A Budget Information form, however only the de minimis rate of 10% of MTDC will be released to support the indirect costs in the absence of a NICRA or CAP approved by the FCA.

The remaining funds which have been awarded for indirect costs are restricted and may not be used for any purpose until the recipient provides a signed copy of the NICRA or CAP. As the grant award or cooperative agreement recipient, the recipient must submit an indirect cost rate proposal or CAP to their FCA. Alternatively, the award recipient may request the de minimis rate if eligible in accordance with 2 CFR 200.414(f).

As the award recipient, the recipient must submit an indirect cost rate proposal or CAP. If the FCA for indirect costs is DOL, these documents should be submitted to the DOL's Cost & Price Determination Division (CPDD). Otherwise, they should be submitted to the award recipient's FCA. Alternatively, the award recipient may request the de minimis rate if eligible (see section (2) above). In addition, the recipient must notify the FPO that the documents have been submitted to the appropriate FCA.

If the award recipient does not submit a NICRA proposal within 90 days of award, they will be limited to the de minimis rate of 10% of Modified Total Direct Costs (MTDC).

(4) The award recipient elected to exclude indirect costs from the proposed budget. F&A costs should only be classified as direct costs if they meet the conditions specified in 2 CFR 200.413(c). If indirect costs are misclassified as direct costs, per the guidelines at 2 CFR 200.412 - 414, such costs may become disallowed through an audit or compliance review conducted by a Federal staff person. Please be aware that incurred indirect costs (such as but not limited to top management salaries, financial oversight, human resources, payroll, personnel, auditing costs, accounting and legal, etc. used for the general oversight and administration of the organization) must not be classified as direct costs; these types of costs are indirect costs. Only direct costs, as defined by the cost principles contained in the Uniform Guidance will be charged.

B.2 Indirect Cost Rate – Financial Reporting for NICRA and De Minimis

All award recipients with an approved NICRA or de minimis rate must report indirect costs on their FINAL ETA-9130 Report. If an award recipient has a NICRA and a CAP, only the indirect costs tied to the NICRA are reported on the FINAL ETA-9130 Report. The grant recipient may refer to [ETA-9130 Report](#) for additional guidance.

B.3 Budget - Approved

The grant award recipient's budget documents are attached in this NOA. The documents are: 1) the SF-424, included as Attachment A; 2) the SF-424 A, included as Attachment B; and 3) the Budget Narrative, included as Attachment C. The grant award recipient must confirm that all costs are allowable, reasonable, necessary, and allocable before charging any expense. Pursuant to 2 CFR 2900.1, the approval of the budget as awarded does not constitute prior approval of those items specified in 2 CFR part 200 and 2 CFR part 2900 or as a part of the grant award as requiring prior approval. The Grant Officer is the only official with the authority to provide such approval.

Any changes to the budget that impact the Statement of Work (SOW) and agreed upon outcomes or deliverables will require a request for modification and prior approval from the Grant Officer.

If the period of performance will include multiple budget periods, subsequent budget periods are subject to the availability of funds, program authority, satisfactory performance, and compliance terms and conditions of the Federal award.

B.4 Budget Flexibility

Award recipients are not permitted to make transfers that would cause any funds to be used for purposes other than those consistent with this Federal program. Any budget changes that impact the SOW and agreed upon outcomes or deliverables require a request for modification and approval from the Grant Officer.

As directed in 2 CFR 200.308(f), for programs where the Federal share is over the Simplified Acquisition Threshold (SAT) (currently \$250,000), the transfer of funds among direct cost categories or programs, functions, and activities is restricted such that if the cumulative amount of such transfers exceeds or is expected to exceed 10% of the total budget as last approved by the Federal awarding agency, the recipient must receive prior approval from the Grant Officer. Any changes within a specific cost category on the SF-424(a) do not require a grant modification unless the change results in a cumulative transfer among direct cost categories exceeding 10% of total budget. It is recommended that the assigned Federal point of contact review any within-line changes to the award recipient's budget prior to implementation to ensure they do not require a modification.

For programs where the Federal share of the project is below the SAT of \$250,000, recipients are not required to obtain the Grant Officer's approval when transferring funds among direct cost categories.

Part C: Funds Management and Special or Temporary Restrictions

C.1 Funds – Payment Management System (PMS)

Upon receipt of a NOA, in order to draw funds from the U.S. Department of Health and Human Services (HHS) [Payment Management System \(PMS\)](#), an active account must be established. To establish an account, award recipients must complete an SF-1199A and PMS Access form (shown as the PMS/FFR User Form on the [PMS website](#)). DOL/ETA is responsible for completing portions of the SF-1199A and submitting the completed SF-1199A to the Division of Payment Management, which operates PMS. Federal award recipients do not need to complete these forms if they already have an account with PMS.

C.2 Funds - Return & Refunds

DOL/ETA does not accept paper checks for any type of returned funds. For active grants, all return of funds are to be submitted electronically through the PMS operated by the HHS via the same method as a drawdown. For grants that have been cancelled or are expired (typically older than five years), incoming payments, including returns and recoveries to DOL, must be made via the [Pay.gov](#) website.

If there are questions regarding the return of funds, or your organization no longer has access to PMS, contact the DOL/ETA, Office of Financial Administration via email at: ETA-ARteam@dol.gov for further assistance.

Part D: Costs - Limitations, Items, and Restrictions

D.1 Consultants

For the purposes of this grant award, the ETA's Grant Officer has determined that fees paid to a consultant who provides services under a program shall be limited to \$810.00 a day (representing an eight-hour workday). Such costs must be reasonable, allocable, and

allowable to the program. Any fees paid in excess of this amount cannot be paid without prior approval from the Grant Officer.

D.2 Equipment

The grant award recipient(s) must submit a request to purchase equipment and receive **prior approval** from the Grant Officer as defined in the Uniform Guidance at 2 CFR 200.1. A request for purchasing equipment will be reviewed and approved in a modification to the award. Prior approval is required only when the per unit's acquisition cost is \$5,000 or more regardless of the non-Federal entity's capitalization threshold. Equipment purchases must be made in accordance with 2 CFR 200.313 or 2 CFR 200.439.

Being awarded this grant ***does not*** automatically mean that the equipment specified in the approved budget or SOW is approved by the Grant Officer. If not specified above, the recipient must submit a detailed list describing the purchase to the FPO for review within 90 days of the NOA date. The recipients are strongly encouraged to submit requests for equipment purchase as early as possible in the grant's period of performance with as many planned pieces of equipment as possible.

Recipients may not purchase equipment during the last year of the period of performance or the last year of full program service delivery (not follow up activities), whichever comes first. If any approved acquisition has not occurred prior to the last funded year of performance, approval for that item is rescinded.

D.3 Pre-Award Costs

All costs incurred by the award recipient prior to the start date specified in the grant award issued by the Department are ***incurred at the recipient's own expense***.

D.4 Program Income

The Addition method as described in 2 CFR 200.307 must be used in allocating any program income generated for this awards award. The award recipient must expend all program income prior to drawing down any additional funds as required at 2 CFR 200.305(b)(5) and 2 CFR 200.307(e). Any program income found remaining at the end of period of performance must be returned to ETA. In addition, the award recipient(s) must report program income on the quarterly financial report using the applicable ETA-9130 or SF-425 reports.

D.5 Supportive Services & Participant Support Costs

When supportive services are expressly authorized by a program statute, regulation, or FOA, this award waives the prior approval requirement for participant support costs as described in 2 CFR 200.456. Costs must still meet the basic considerations at 2 CFR 200.402 – 200.411. Questions regarding supportive services and participant support costs should be directed to the FPO who is assigned to the award.

D.6 Travel

This award waives the prior approval requirement for domestic travel as contained in 2 CFR 200.475. For domestic travel to be an allowable cost, it must be necessary, allowable, reasonable, allocable and conform to the non-Federal entity's written policies and procedures. All travel must also comply with Fly America Act (49 USC 40118), which states in part that any air transportation, regardless of price, must be performed by, or under a code-sharing arrangement with, a U.S. Flag air carrier if service provided by such carrier is available.

D.7 Travel – Foreign

Foreign travel is not allowable except with prior written approval from the Grant Officer through the process described in 2 CFR 200.407 and 2 CFR 2900.16. All travel, both domestic and Grant Officer approved foreign travel, must comply with the Fly America Act (49 USC 40118), which states in part that any air transportation, regardless of price, must be performed by, or under a code-sharing arrangement with, a U.S. Flag air carrier if service provided by such carrier is available.

D.8 Travel – Mileage Reimbursement Rates

Pursuant to 2 CFR 200.475(a), all award recipients must have policies and procedures in place related to travel costs; however, for reimbursement on a mileage basis, this Federal grant award cannot be charged more than the maximum allowable mileage reimbursement rates for Federal employees. Mileage rates must be checked annually at GSA's [Privately Owned Vehicle \(POV\) Mileage Reimbursement Rates webpage](#) to ensure compliance.

D.9 Conferences and Conference Space

Conferences sponsored in whole or in part by the award recipient are allowable if the conference is necessary and reasonable for the successful performance of the Federal Award. The award recipients are urged to use discretion and good judgment to ensure that all conference costs charged to the grant are appropriate and allowable. For more information on the requirements and the allowability of costs associated with conferences, refer to 2 CFR 200.432. Recipients will be held accountable to the requirements in 2 CFR 200.432. Therefore, costs that do not comply with 2 CFR 200.432 will be questioned and may be disallowed.

D.10 Hotel-Motel Fire Safety

Pursuant to 15 U.S.C. 2225a, the recipient must ensure that all space for conferences and conventions or training seminars funded in whole or in part with federal funds complies with the protection and control guidelines of the Hotel and Motel Fire Safety Act (P.L. 101-391, as amended). Recipients may search the [Hotel-Motel National Master List](#) to see if a property is in compliance, or to find other information about the Act.

Part E: Reporting, Audit, and Closeout

E.1 Reports

All ETA award recipients are required to submit quarterly financial and narrative progress reports for each award.

1. **Quarterly Financial Reports.** All ETA award recipients are required to report financial data on the ETA-9130 Financial Report. ETA-9130 reports are due no later than 45 calendar days after the end of each specified reporting quarter. Reporting quarter end dates are March 31, June 30, September 30, and December 31. A final financial report must be submitted no later than 45 calendar days after the quarter encompassing the award end date ends, or 45 calendar days after the completion of the quarter in which all funds have been expended, whichever comes first. A closeout report will be submitted during the closeout process. For additional guidance on ETA's financial reporting, reference [ETA-9130 Financial Reporting Resources](#).

The instructions for accessing both the online financial reporting system and the HHS PMS can be found in the transmittal memo accompanying this NOA.

E.2 Reports

1. **Quarterly Narrative Progress Reports.** Award recipients are required to submit a narrative quarterly and final report on grant activities funded under this award. All reports are due no later than 45 calendar days after the end of each specified reporting quarter. Reporting quarter end dates are March 31, June 30, September 30, and December 31.
 - a) The last quarterly progress report that award recipients submit will serve as the grant's Final Performance Report. This report should provide both *quarterly and cumulative* information on the award's activities. It must summarize project activities, employment outcomes and other deliverables, and related results of the project.
 - b) The award recipient shall use any standard forms and instructions to report on training and employment outcomes and other data relating to the progress reports as provided by ETA.
 - c) The award recipient shall utilize standard reporting processes and electronic reporting systems to submit their quarterly progress reports as provided by ETA.

E.3 Federal Funding Accountability and Transparency Act (FFATA or Transparency Act)

Applicable to grants and cooperative agreements:

1. Reporting of first-tier subawards.

- a) *Applicability.* Unless the award recipient is exempt as provided in paragraph [4.] of this award term, the award recipient must report each action that equals or exceeds \$30,000 in Federal funds for a subaward to a non-Federal entity or Federal agency (see definitions in paragraph [5.] of this award term).
 - b) *Where and when to report.*
 - I. The Federal entity or Federal agency must report each obligating action described in paragraph [1.a.] of this award term to [FSRS.gov](https://www.fsr.gov).
 - II. For subaward information, the recipient must report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)
 - c) *What to report.* The award recipient must report the information about each obligating action that the submission instructions posted at [FSRS.gov](https://www.fsr.gov) specify.
2. Reporting total compensation of recipient executives for non-Federal entities.
 - a) *Applicability and what to report.* The award recipient must report total compensation for each of their five most highly compensated executives for the preceding completed fiscal year, if—
 - I. the total Federal funding authorized to date under this Federal award is equal to or exceeds \$30,000 and is subject to the Transparency Act, as defined in 2 CFR 170.320;
 - II. in the preceding fiscal year, the recipient received—
 - (A) 80% or more of the annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined in 2 CFR 170.320 (and subawards); and
 - (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined in 2 CFR 170.320 (and subawards); and
 - III. The public does not have access to information on the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or Section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the [U.S. Security and Exchange Commission \(SEC\) total compensation filings](https://www.sec.gov))
 - b) *Where and when to report.* The award recipient must report executive total compensation described in paragraph [2.a.] of this award term:
 - a. As part of your registration profile at [SAM.gov](https://sam.gov).
 - b. By the end of the month following the month in which this award is made, and annually thereafter.
 3. Reporting of Total Compensation of Subrecipient Executives.
 - a) *Applicability and what to report.* Unless the recipient is exempt as provided in paragraph [4.] of this award term, for each first-tier non-Federal entity subrecipient under this award, the award recipient shall report the names and

total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if—

- I. in the subrecipient's preceding fiscal year, the subrecipient received—
 - (A) 80% or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined in 2 CFR 170.320 (and subawards); and
 - (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and
 - II. The public does not have access to information on the compensation of the executives through periodic reports filed under Section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or Section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the [SEC total compensation filings](#))
- b) *Where and when to report.* The award recipient must report subrecipient executive total compensation described in paragraph [3.a] of this award term:
- I. To the recipient.
 - II. By the end of the month following the month during which the recipient makes the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), the grant recipient must report any required compensation information of the subrecipient by November 30 of that year.
4. Exemptions.
- If, in the previous tax year, the award recipient had gross income, from all sources, under \$300,000, the recipient is exempt from the requirements to report:
- a) Subawards; and
 - b) The total compensation of the five most highly compensated executives of any subrecipient.
5. Definitions.
- For purposes of this award term:
- a) *Federal Agency* means a Federal agency as defined in 5 U.S.C. 551(1) and further clarified by 5 U.S.C. 552(f).
 - b) *Non-Federal Entity* means all of the following, as defined in 2 CFR part 25:
 - I. A Governmental organization, which is a State, local government, or Indian tribe;
 - II. A foreign public entity;
 - III. A domestic or foreign nonprofit organization; and
 - IV. A domestic or foreign for-profit organization.
 - c) *Executive* means officers, managing partners, or any other employees in management positions.
 - d) *Subaward*:
 - I. This term is used as a legal instrument to provide support for the performance of any portion of the substantive project or program for

- which the grant recipient received this award and that the grant recipient as the recipient award to an eligible subrecipient.
- II. The term does not include the grant award recipient's payment to a contractor, as defined in 2 CFR 200.331, for property and services needed to carry out the project or program.
 - III. A subaward may be provided through any legal agreement, including an agreement that the grant recipient or a subrecipient considers a contract.
- e) *Subrecipient* means a non-Federal entity or Federal agency that:
- I. Receives a subaward from the grant award recipient under this award; and
 - II. Is accountable to the grant recipient for the use of the Federal funds provided by the subaward.
- f) *Total compensation* means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):
- I. *Salary and bonus.*
 - II. *Awards of stock, stock options, and stock appreciation rights.* Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
 - III. *Earnings for services under non-equity incentive plans.* This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives and are available generally to all salaried employees.
 - IV. *Change in pension value.* This is the change in present value of defined benefit and actuarial pension plans.
 - V. *Above-market earnings on deferred compensation which is not tax-qualified.*
 - VI. Other compensation, if the aggregate value of all such other compensation (e.g., severance, termination payments, value of life insurance paid on behalf of the employee, perquisites, or property) for the executive exceeds \$10,000.

E.4 Integrity and Performance Matters – FAPIIS

1. If the total value of the currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then the award recipient during that period of time must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)) about civil, criminal, or administrative proceedings described in Paragraph 2 of this award term and condition. This is a statutory requirement under Section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by Section 3010 of Public Law 111-212, all

information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

2. Proceedings about which the award recipient must report. Submit the information required about each proceeding that:
 - a. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government;
 - b. Reached its final disposition during the most recent 5-year period; and
 - c. Is one of the following:
 - I. A criminal proceeding that resulted in a conviction, as defined in Paragraph 5. of this award term;
 - II. A civil proceeding that resulted in a finding of fault and liability and paying a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more;
 - III. An administrative proceeding, as defined in Paragraph 5. of this award term, that resulted in a finding of fault and liability and grant recipient payment of either monetary fine or penalty of \$5,000 or more or a reimbursement, restitution, or damages in excess of \$100,000; or
 - IV. Any other criminal, civil, or administrative proceeding if:
 - (A) It could have led to an outcome described in Paragraph 2.c.I, II, or III of this award term;
 - (B) It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on the grant recipient's part; and
 - (C) The requirement in this award term to disclose information about the proceeding does not conflict with applicable laws and regulations.
3. Reporting procedures. Enter in SAM, Entity Management area (formerly CCR), or any successor system, the FAPIIS information that SAM requires about each proceeding described in Paragraph 2 of this award term. The award recipient does not need to submit the information a second time under assistance awards that were received if the recipient already provided the information through SAM (formerly CCR) because the recipient was required to do so under Federal procurement contracts that the recipient was awarded.
4. Reporting frequency. During any period of time when the award recipient is subject to the requirement in Paragraph 1 of this award term, the award recipient must report FAPIIS information through SAM no less frequently than semiannually following the initial report of any proceedings for the most recent 5-year period, either to report new information about any proceeding(s) that the award recipient has not reported previously or to affirm that there is no new information to report.
5. Definitions. For purposes of this award term:
 - a. Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., SEC

Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level. It does not include audits, site visits, corrective plans, or inspection of deliverables.

- b. Conviction, for purposes of this award term, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.
- c. Total value of currently active grants, cooperative agreements, and procurement contracts includes —
 - I. Only the Federal share of the funding under any award with a recipient cost share or match; and
 - II. The value of all options, even if not yet exercised.

E.5 Audits

Organization-wide or program-specific audits must be performed in accordance with Subpart F, the Audit Requirements of the Uniform Guidance. DOL award recipients that expend \$750,000 or more in a year from any Federal awards must have an audit conducted for that year in accordance with the requirements contained in 2 CFR 200.501. OMB's approved DOL exception at 2 CFR 2900.2 expands the definition of 'non-Federal entity' to include for-profit entities and foreign entities. As such, for-profit and foreign entities that are recipients/subrecipients of a DOL award must adhere to the Uniform Guidance at 2 CFR 200, including Subpart F. Audits of direct award recipients that are for-profit and foreign entities must be submitted directly to: USDOL ETA-OGM, Attn: Audit Resolution, 200 Constitution Ave NW, Room N-4716, Washington, DC 20210. All other audit reports are submitted through the Federal Audit Clearinghouse

The recipient is prohibited from earning a profit resulting from the implementation of this cooperative agreement. As directed in 2 CFR 200.400(g), non-Federal entities may not earn or keep any profit resulting from Federal financial assistance unless explicitly authorized in the Federal Award Terms. Additionally, the provision on profit only applies to WIOA Title 1 programs at 20 CFR 683.295

E.6 Audit Submission Deadline Extension Related to COVID-19

In [OMB Memorandum M-20-17](#), OMB offered an extension of Single Audit submission deadlines for fiscal years ending June 30, 2020 to allow recipients and subrecipients a responsible transition to normal operations. This flexibility was extended through December 31, 2020 by [OMB Memorandum 20-26](#).

In [OMB Memorandum M-21-20](#), Appendix 3, Item IX, OMB has offered an additional extension of Single Audit submission deadlines for fiscal years ending June 30, 2021. Award recipients and subrecipients that have not yet filed their single audits with the Federal Audit Clearinghouse as of March 19, 2021, that have fiscal year-ends through June 30, 2021, may delay the completion and submission of the Single Audit reporting package, as required under 2 CFR 200.501 (Audit Requirements), to six (6) months beyond the normal due date.

This extension does not require individual recipients and subrecipients to seek approval for the extension by the cognizant or oversight agency for audit; however, recipients and subrecipients should maintain documentation of the reason for the delayed filing.

E.7 Closeout/Final Year Requirements

At the end of the grant period, the award recipient will be required to close the grant with the ETA. The grant and cooperative agreement award recipient will be notified approximately 15 days prior to the end of the period of performance that the closeout process will begin when the period of performance ends. See ETA's [Grant Closeout](#) webpage for further information on the closeout process. The recipient's responsibilities at closeout may be found at 2 CFR 200.344. During the closeout process, the award recipient must be able to provide documentation for all direct and indirect costs that are incurred. For instance, if an organization is claiming indirect costs, the required documentation is a NICRA or CAP issued by the award recipient's FCA. For those approved to utilize a de minimis rate for indirect costs, the grant agreement or cooperative agreement is sufficient documentation. Not having documentation for direct or indirect costs will result in costs being disallowed and subject to debt collection.

The only liquidation that can occur during closeout is the liquidation of accrued expenditures (NOT obligations) for goods and/or services received during the period of performance specified in this award (NOA) (2 CFR 2900.15).

Part F: National Policy and Restrictions

F.1 Architectural Barriers

The Architectural Barriers Act of 1968, 42 U.S.C. 4151 et seq., as amended, the Federal Property Management Regulations (see 41 CFR 102-76), and the Uniform Federal Accessibility Standards issued by the U.S. General Services Administration (GSA) (see 36 CFR 1191, Appendixes C and D) set forth requirements to make facilities accessible to, and usable by, the physically handicapped and include minimum design standards. All new facilities designed or constructed with grant support must comply with these requirements.

F.2 Domestic Preferences for Procurements

As appropriate and to the extent consistent with law, the non-Federal entity should, to the greatest extent practicable under a Federal award, provide a preference for the purchase, acquisition, or use of goods, products, or materials produced in the United States (including but not limited to iron, aluminum, steel, cement, and other manufactured products). The requirements of 2 CFR Part 200.322 must be included in all subawards including all contracts and purchase orders for work or products under this award.

F.3 Drug-Free Workplace

The Drug-Free Workplace Act of 1988, 41 U.S.C. 702 et seq., and 2 CFR 182 require that all award recipients receiving awards from any Federal agency maintain a drug-free workplace.

The award recipient must notify the awarding office if an employee of the recipient is convicted of violating a criminal drug statute. Failure to comply with these requirements may be cause for suspension or debarment.

F.4 Flood Insurance

The Flood Disaster Protection Act of 1973, as amended, 42 U.S.C. 4001 *et seq.*, provides that no Federal financial assistance to acquire, modernize, or construct property may be provided in communities in the United States identified as flood-prone, unless the community participates in the National Flood Insurance Program and flood insurance is purchased within 1 year of the identification. The flood insurance purchase requirement applies to both public and private applicants for the DOL support. Lists of flood-prone areas that are eligible for flood insurance are published in the Federal Register by FEMA.

F.5 Intellectual Property Rights

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: the copyright in all products developed under the grant, including a subgrant or contract under the grant or subgrant; and any rights of copyright to which the grant award 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.

Federal funds may not be used 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 DOL/ETA has a license or rights of free use in such work, although they may be used to pay costs for obtaining a copy which is limited to the developer/seller costs of copying and shipping.

If revenues are generated by selling products developed with grant funds, including intellectual property, these revenues are considered as program income. Program income must be used in accordance with the provisions of this grant award and 2 CFR 200.307.

The following language must be on all workforce 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 (DOL)’s Employment and Training Administration (ETA). The product was created by the recipient and does not necessarily reflect the official position of DOL/ETA. DOL/ETA 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.”

F.7 Personally Identifiable Information

The award recipient(s) must recognize and safeguard Personally Identifiable Information (PII) except where disclosure is allowed by prior written approval of the Grant Officer or by court order. Award recipients must meet the requirements in [TEGL No. 39-11, Guidance on the Handling and Protection of PII](#).

F.8 Publicity

Pursuant to P.L. 117-103, Division H, Title V, Section 503, the award recipient is not authorized to use any funds provided under this award—other than for normal and recognized executive–legislative relationships—for publicity or propaganda purposes, for the preparation, distribution or use of any kit, pamphlet, booklet, publication, electronic communication, radio, television, or video presentation, designed to support or defeat legislation pending before the Congress or any state or local legislature or legislative body, except in presentation to the Congress or any state or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any state or local government, except in presentation to the executive branch of any state or local government itself.

F.9 Telecommunications Prohibition

Award recipients must adhere to 2 CFR 200.216 - Prohibition on certain telecommunications and video surveillance services or equipment (effective August 13, 2020).

Award recipients, including grant and cooperative agreements, and subrecipients are prohibited from obligating or expending loan or grant funds to:

Procure or obtain;

Extend or renew a contract to procure or obtain; or

Enter into a contract (or extend or renew a contract) to procure or obtain equipment, services, or systems that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in Public Law 115-232, section 889, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).

For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities). Including telecommunications or video surveillance services provided by such entities or using such equipment and telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the government of a covered foreign country.

In implementing the prohibition under Public Law 115-232, section 889, subsection (f), paragraph (1), heads of executive agencies administering loan, grant, or subsidy programs shall prioritize available funding and technical support to assist affected businesses, institutions and organizations as is reasonably necessary for those affected entities to transition from covered communications equipment and services, to procure replacement equipment and services, and to ensure that communications service to users and customers is sustained. See Public Law 115-232 (section 889) and 2 CFR 200.471 for additional information.

F.10 Veterans' Priority Provisions

The Jobs for Veterans Act (Public Law 107-288) requires award recipients to provide priority 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 the DOL. The regulations implementing this priority of service can be found at 20 CFR Part 1010. In circumstances where an award 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 award 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. Award recipients must comply with the DOL guidance on veterans' priority. ETA's [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.

F.11 Waste, Fraud and Abuse

No entity receiving federal funds may require employees or contractors of such entity seeking to report fraud, waste, or abuse to sign internal confidentiality agreements or statements prohibiting or otherwise restricting such employees or contractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

F.12 Whistleblower Protection

All employees working for contractors, grantees/ grant recipients, subcontractors, subgrantees/ subrecipients, and recipients of cooperative agreements working on this Federal award are subject to the whistleblower rights and remedies established at 41 U.S.C. 4712. The award recipient shall inform its employees and applicable contractors and subrecipients, in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under 41 U.S.C. 4712, as described in section 3.908 of the Federal Acquisition Regulation. The award recipient shall insert the substance of this clause in all subawards and contracts over the Simplified Acquisition Threshold.

F.13 Executive Order 12928 - Historically Black Colleges and Universities and other Minority Institutions such as Hispanic-Serving Institutions and Tribal Colleges and Universities

Pursuant to Executive Order (EO) 12928, the award recipient is strongly encouraged to provide subcontracting/subgranting opportunities to Historically Black Colleges and Universities and other Minority Institutions such as Hispanic-Serving Institutions and Tribal Colleges and Universities; and to Small Businesses Owned and Controlled by Socially and Economically Disadvantaged Individuals.

F.14 Executive Order 13043 - Increasing Seat Belt Use

Pursuant to EO 13043, Increasing Seat Belt Use in the United States, dated April 16, 1997, the award recipients are encouraged to adopt and enforce on-the-job seat belt policies and programs for their employees when operating company-owned, rented, or personally owned vehicles.

F.15 Executive Order 13166 - Improving Access to Services for Persons with Limited English Proficiency

As clarified by EO 13166, Improving Access to Services for Persons with Limited English Proficiency, dated August 11, 2000, and resulting agency guidance, national origin discrimination includes discrimination on the basis of limited English proficiency (LEP). To ensure compliance with Title VI, award recipients must take reasonable steps to ensure that LEP persons have meaningful access to programs in accordance with [DOL's Policy Guidance on the Prohibition of National Origin Discrimination as it Affects Persons with Limited English Proficiency](#), 68 FR 32289 (May 29, 2003). Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. Award recipients are encouraged to consider the need for language services for LEP persons served or encountered both in developing budgets and in conducting programs and activities. For assistance and information regarding your LEP obligations, go to [LEP.gov](#).

F.16 Executive Order 13513 - Federal Leadership On Reducing Text Messaging While Driving

Pursuant to EO 13513, Federal Leadership On Reducing Text Messaging While Driving, dated October 1, 2009, award recipients and subrecipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles (GOV), or while driving privately-owned vehicles (POV) when on official Government business or when performing any work for or on behalf of the Government. Award recipients and subrecipients are also encouraged to conduct initiatives of the type described in section 3(a) of this order.

F.17 Executive Order 14005 - Ensuring the Future Is Made in All of America by All of America's Workers

Pursuant to EO 14005, Ensuring the Future Is Made in All of America by All of America's Workers, the award recipient agrees to comply with all applicable Made in America Laws (as defined in the EO), including the Buy American Act at 41 USC sections 8301-8305. For the purposes of this award, the grant and cooperative award recipient is required to maximize the use of goods, products, and materials produced in, and services offered in, the United States, in accordance with the Made in America Laws. No funds may be made available to any person or entity (including as a contractor or subrecipient of the award recipient) that has been found to be in violation of any Made in America Laws.

“Made in America Laws” means all statutes, regulations, rules, and Executive Orders relating to Federal financial assistance awards or Federal procurement, including those that refer to “Buy America” or “Buy American,” that require, or provide a preference for, the purchase or acquisition of goods, products, or materials produced in the United States, including iron, steel, and manufactured goods offered in the United States. Made in America Laws include laws requiring domestic preference for maritime transport, including the Merchant Marine Act of 1920 (Public Law 66-261), also known as the Jones Act.

F.18 Salary and Bonus Limitations

Pursuant to P.L. 117-103, Division H, Title I, Section 105, award recipients and subrecipients shall not use funds to pay the salary and bonuses of an individual, either as direct costs or as indirect costs, at a rate in excess of Executive Level II. The Executive Level II salary may change yearly and is located on the [OPM.gov](https://www.opm.gov) website. The salary and bonus limitation does not apply to contractors (vendors) providing goods and services as defined in 2 CFR 200.331. Where States are recipients of such funds, States may establish a lower limit for salaries and bonuses of those receiving salaries and bonuses from subrecipients, taking into account factors including the relative cost-of-living in the State, the compensation levels for comparable State or local government employees, and the size of the organizations that administer Federal programs involved including ETA programs. See [TEGL 5-06](#) for further clarification.

F.19 Harassment Prohibited

The grant recipient and any subrecipients are prohibited from engaging in harassment of an individual based on race, color, religion, sex, national origin, age, disability, or political affiliation or belief, or, for beneficiaries, applicants, and participants only, based on citizenship status or participation in any WIOA Title I-financially assisted program or activity. Harassing conduct of this type is a violation of the nondiscrimination provisions of WIOA and of 29 CFR Part 38.

Unwelcome sexual advances, requests for sexual favors, or offensive remarks about a person's race, color, religion, sex, national origin, age, disability, political affiliation or belief, or citizenship or participation, and other unwelcome verbal or physical conduct

based on one or more of these protected categories constitutes unlawful harassment on that basis(es) when:

Submission to such conduct is made either explicitly or implicitly a term or condition of accessing the aid, benefit, service, or training of, or employment in the administration of or in connection with, any WIOA title I-financially assisted program or activity; or

Submission to, or rejection of, such conduct by an individual is used as the basis for limiting that individual's access to any aid, benefit, service, training, or employment from, or employment in the administration of or in connection with, any WIOA Title I-financially assisted program or activity; or

Such conduct has the purpose or effect of unreasonably interfering with an individual's participation in a WIOA Title I-financially assisted program or activity creating an intimidating, hostile or offensive program environment.

Harassment because of sex includes harassment based on gender identity or sexual orientation; harassment based on failure to comport with sex stereotypes; and harassment based on pregnancy, childbirth, and related medical conditions. Sex-based harassment may include harassment that is not sexual in nature but that is because of sex or where one sex is targeted for the harassment.

F.20 Intellectual Property, Open Licensing Rights, and the Bayh-Dole Act

As required at 2 CFR 2900.13, any intellectual property developed under a discretionary Federal award process must be licensed under an open 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.

All small business firms, and non-profit organizations (as defined in the link below, and including Institutions of Higher Education) must adhere to the Bayh-Dole Act, which requirements are provided at 37 CFR 401.3(a) and at [Bayh-Dole Act Required ETA Grant Term](#). To summarize, these requirements describe the ownership of intellectual property rights and the government's nonexclusive, nontransferable, irrevocable, paid-up license to use any invention conceived or first actually reduced to practice in the performance of work under this grant award. These requirements are in addition to those found in the Intellectual Property Rights term above.

F.21 Procurement

The Procurement Standards found in the Uniform Guidance at 2 CFR 200.318-327 require all grant award recipients and subrecipients to conduct procurement transactions in a manner that promote practical, open, and free competition. The award recipient's description in the SOW of a specific entity that will provide goods or services does not constitute approval or justification of sole-source procurement from this entity.

The Uniform Guidance (at 2 CFR 200.317) requires States (as defined in 2 CFR 200.1) to follow the same procurement policies and procedures it uses for non-Federal funds. The State must comply with 2 CFR 200.321, 200.322, and 200.323 and ensure that every purchase order or other contract includes any clauses required by 2 CFR 200.327.

Part G: National Prohibitions and Other Restrictions

G.1 Contracting with Corporations with Felony Criminal Convictions Prohibited

The award recipient may not knowingly enter into a contract, memorandum of understanding, or cooperative agreement with, make a grant to, or provide a loan or loan guarantee to, any corporation that was convicted of a felony criminal violation under any Federal law within the preceding 24 months.

G.2 Contracting with Corporations with Unpaid Tax Liabilities Prohibited

The award recipient may not knowingly enter into a contract, memorandum of understanding, or cooperative agreement with, make a grant to, or provide a loan or loan guarantee to, any corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

G.3 Trafficking in Persons Prohibited

1. This part establishes a government-wide award term for grants and cooperative agreements to implement the requirement in regard to Trafficking in persons.

a. *Provisions applicable to a recipient that is a private entity.*

I. The award recipient, the award recipient's employees, subrecipients under this award, and subrecipients' employees may not—

(A). Engage in severe forms of trafficking in persons during the period of time that the grant award is in effect; or

(B). Procure a commercial sex act during the period of time that the award is in effect; or

(C). Use forced labor in the performance of the award or subawards under the award.

II. DOL/ETA as the Federal awarding agency may unilaterally terminate this award, without penalty, if the award recipient or a subrecipient that is a private entity —

(A). Is determined to have violated a prohibition in paragraph a.I of this award term; or

(B). Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph a.I of this award term through conduct that is either—

i. Associated with performance under this award; or

ii. Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR Part 180, “OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” as implemented by our agency at 2 CFR Part 2998.

b. *Provision applicable to a recipient other than a private entity.* DOL/ETA as the Federal awarding agency may unilaterally terminate this award, without penalty, if a subrecipient that is a private entity—

I. Is determined to have violated an applicable prohibition in paragraph a.I of this grant award term; or

II. Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph a.I of this grant award term through conduct that is either—

(A). Associated with performance under this award; or

(B). Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” as implemented by our agency at 29 CFR Part 98.

c. *Provisions applicable to any recipient.*

I. The award recipient must inform DOL/ETA immediately of any information the award recipient receives from any source alleging a violation of a prohibition in paragraph a.1 of this grant award term.

II. DOL/ETA right to terminate unilaterally that is described in paragraph a.II or b of this section:

(A). Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and

(B). Is in addition to all other remedies for noncompliance that are available to DOL/ETA under this grant award.

III. The award recipient must include the requirements of paragraph a.I of this award term in any subaward the award recipient make to a private entity.

d. *Definitions.* For purposes of this award term:

I. “Employee” means either:

(A). An individual employed by the grant award recipient or a subrecipient who is engaged in the performance of the project or program under this award; or

(B). Another person engaged in the performance of the project or program under this grant award and not compensated by the grant recipient including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.

II. “Forced labor” means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.

III. “Private entity”:

(A). Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 CFR 175.25.

(B). Includes:

i. A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CFR 175.25(b).

ii. A for-profit organization.

IV. “Severe forms of trafficking in persons,” “commercial sex act,” and “coercion” have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

G.4 Health Benefits Coverage for Contraceptives

Federal funds may not be used to enter in to or renew a contract which includes a provision for prescription drug coverage unless the contract also includes a provision for contraceptive coverage. This requirement does not apply to contracts with 1) the religious plans Personal Care’s HMO and OSF Health Plans, Inc. and 2) any existing or future plan if the carrier for the plan objects to such coverage on the basis of religious beliefs.

In implementing this section, any plan that enters into or renews a contract may not subject any individual to discrimination on the basis that the individual refuses to prescribe or otherwise provide for contraceptives because such activities would be contrary to the individuals’ religious beliefs or moral convictions. Nothing in this term shall be construed to require coverage of abortion or abortion related services.

G.5 Health Benefits Coverage for Abortions Restricted

Pursuant to P.L. 117-103, Division H, Title V, Section 506 and 507, Federal funds may not be expended for health benefits coverage that includes coverage of abortions, except when the pregnancy is the result of rape or incest, or in the case where a woman suffers from a physical disorder, physical injury, or physical illness, including a life-endangering physical condition caused by or arising from the pregnancy itself that would, as certified by a physician, place the women in danger of death unless an abortion is performed. This restriction does not prohibit any non-Federal entity from providing health benefits coverage for abortions when all funds for that specific benefit do not come from a Federal source. Additionally, no funds made available through this grant award may be provided to a State or local government if such government subjects any institutional or individual health care entity to discrimination on the basis that the health care entity does not provide, pay for, provide coverage of, or refer for abortions.

G.6 Fair Labor Standards Act Amendment for Major Disasters

Pursuant to P.L. 117-103, Division H, Title I, Section 108, the Fair Labor Standards Act of 1938 (FLSA) will apply as if the following language was added to Section 7 (the Maximum Hours Worked Section). This language specifically relates to occurrences of a major disaster (as declared or designated by the state or federal government) and are applied for a period of two years afterwards. The language is as follows:

“(s)(1) The provisions of this section [maximum hours worked] shall not apply for a period of 2 years after the occurrence of a major disaster to any employee—

(A) employed to adjust or evaluate claims resulting from or relating to such major disaster, by an employer not engaged, directly or through an affiliate, in underwriting, selling, or marketing property, casualty, or liability insurance policies or contracts;

(B) who receives from such employer on average weekly compensation of not less than \$591.00 per week or any minimum weekly amount established by the Secretary, whichever is greater, for the number of weeks such employee is engaged in any of the activities described in subparagraph (C); and (C) whose duties include any of the following:

(i) interviewing insured individuals, individuals who suffered injuries or other damages or losses arising from or relating to a disaster, witnesses, or physicians;

(ii) inspecting property damage or reviewing factual information to prepare damage estimates;

(iii) evaluating and making recommendations regarding coverage or compensability of claims or determining liability or value aspects of claims;

(iv) negotiating settlements; or

(v) making recommendations regarding litigation.

(2) The exemption in this subsection shall not affect the exemption provided by section 13(a)(1) [of the FLSA].

(3) For purposes of this subsection—

(A) the term ‘major disaster’ means any disaster or catastrophe declared or designated by any State or Federal agency or department;

(B) the term ‘employee employed to adjust or evaluate claims resulting from or relating to such major disaster’ means an individual who timely secured or secures a license required by applicable law to engage in and perform the activities described in clauses (i) through (v) of paragraph (1)(C) relating to a major disaster, and is employed by an employer that maintains worker compensation insurance coverage or protection for its employees, if required by applicable law, and withholds applicable Federal, State, and local income and payroll taxes from the wages, salaries and any benefits of such employees; and

(C) the term ‘affiliate’ means a company that, by reason of ownership or control of 25% or more of the outstanding shares of any class of voting securities of one or more companies, directly or indirectly, controls, is controlled by, or is under common control with, another company.”

G.7 Lobbying/Advocacy Restricted

Pursuant to P.L. 117-103, Division H, Title V, Section 503, no federal funds may be used to pay the salary or expenses of any grant recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or executive order proposed or pending before the Congress or any state government, state legislature or local legislature or legislative body, other than for normal and recognized executive-legislative relationships or participation by an agency or officer of a state, local or tribal government in policymaking and administrative processes within the executive branch of that government.

G.8 Blocking Pornography Required

Pursuant to P.L. 117-103, Division H, Title V, Section 520, no Federal funds may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography.

G.9 Privacy Act

No funds can be used in contravention of 5 U.S.C. 552a (the Privacy Act) or regulations implementing the Privacy Act.

G.10 Procuring Goods Obtained Through Child Labor Prohibited

Pursuant to P.L. 117-103, Division H, Title I, Section 103, no Federal funds may be obligated or expended for the procurement of goods mined, produced, manufactured, or harvested or services rendered, in whole or in part, by forced or indentured child labor in industries and host countries identified by the DOL prior to December 20, 2019. DOL has identified these goods and services at ILAB's [List of Products Produced by Forced or Indentured Child Labor](#) webpage.

G.11 Promotion of Drug Legalization Restricted

Pursuant to P.L. 117-103, Division H, Title V, Section 509, no Federal funds shall be used for any activity that promotes the legalization of any drug or other substance included in Schedule I of the schedules of controlled substances established under Section 202 of the Controlled Substances Act except for normal and recognized executive-congressional communications or where there is significant medical evidence of a therapeutic advantage to the use of such drug or other substance or that federally sponsored clinical trials are being conducted to determine therapeutic advantage.

G.12 Public Communications – Certain Information Requirement

Pursuant to P.L. 117-103, Division H, Title V, Section 505, when issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all non-Federal entities receiving Federal funds shall clearly state:

1. The percentage of the total costs of the program or project which will be financed with Federal money;
2. The dollar amount of Federal funds for the project or program; and
3. The percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

The requirements of this term are separate from those in 2 CFR Part 200 and, when applicable, both must be complied with.

G.13 Purchase of Sterile Needles or Syringes Restricted

Pursuant to P.L. 117-103, Division H, Title V, Section 526, no Federal funds shall be used to purchase sterile needles or syringes for the hypodermic injection of any illegal drug.

Part H: Attachments

H.1 Attachment A: SF-424

H.2 Attachment B: SF-424A

H.3 Attachment C: Budget Narrative

H.4 Attachment D: Statement of Work

Attachment A: SF-424

Application for Federal Assistance SF-424

* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application		* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision		* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>	
* 3. Date Received: <input type="text" value="05/01/2023"/>		4. Applicant Identifier: <input type="text" value="Vermont Department of Labor"/>			
5a. Federal Entity Identifier: <input type="text"/>			5b. Federal Award Identifier: <input type="text"/>		
State Use Only:					
6. Date Received by State: <input type="text"/>		7. State Application Identifier: <input type="text" value="SAEF - Base Formula"/>			
8. APPLICANT INFORMATION:					
* a. Legal Name: <input type="text" value="Vermont Department of Labor"/>					
* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text" value="030350861"/>			* c. UEI: <input type="text" value="X7JULY9PCPRC7"/>		
d. Address:					
* Street1:	<input type="text" value="PO Box 488 5 Green Mountain Drive"/> <i>Jay Ramsey</i>				
Street2:	<input type="text" value="5 Green Mountain Drive"/> <i>Jay Ramsey</i>				
* City:	<input type="text" value="Montpelier"/>				
County/Parish:	<input type="text"/>				
* State:	<input type="text" value="VT: Vermont"/>				
Province:	<input type="text"/>				
* Country:	<input type="text" value="USA: UNITED STATES"/>				
* Zip / Postal Code:	<input type="text" value="05601-0488"/>				
e. Organizational Unit:					
Department Name: <input type="text"/>			Division Name: <input type="text"/>		
f. Name and contact information of person to be contacted on matters involving this application:					
Prefix:	<input type="text"/>	* First Name:	<input type="text" value="Jay"/>		
Middle Name:	<input type="text"/>				
* Last Name:	<input type="text" value="Ramsey"/>				
Suffix:	<input type="text"/>				
Title:	<input type="text" value="Interim Director of Workforce Development"/>				
Organizational Affiliation: <input type="text"/>					
* Telephone Number:	<input type="text" value="802-828-4343"/>	Fax Number:	<input type="text"/>		
* Email:	<input type="text" value="jay.ramsey@vermont.gov"/>				

Application for Federal Assistance SF-424

*** 9. Type of Applicant 1: Select Applicant Type:**

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

Employment and Training Administration

11. Catalog of Federal Domestic Assistance Number:

17.285

CFDA Title:

Apprenticeship USA Grants

*** 12. Funding Opportunity Number:**

FOA-ETA-23-09

* Title:

State Apprenticeship Expansion Formula

13. Competition Identification Number:

FOA-ETA-23-09

Title:

State Apprenticeship Expansion Formula

14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment

Delete Attachment

View Attachment

*** 15. Descriptive Title of Applicant's Project:**

FOA-ETA-23-09 Request for Annual Base Funding

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424**16. Congressional Districts Of:*** a. Applicant * b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:* a. Start Date: * b. End Date: **18. Estimated Funding (\$):**

* a. Federal	<input type="text" value="304,977.00"/>
* b. Applicant	<input type="text" value="0.00"/>
* c. State	<input type="text" value="0.00"/>
* d. Local	<input type="text" value="0.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="0.00"/>
* g. TOTAL	<input type="text" value="304,977.00"/>

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)** Yes No

If "Yes", provide explanation and attach

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)**

 ** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:Prefix: * First Name: Middle Name: * Last Name: Suffix: * Title: * Telephone Number: Fax Number: * Email: * Signature of Authorized Representative: * Date Signed:

Attachment B: SF-424A

BUDGET INFORMATION - Non-Construction Programs

OMB Number: 4040-0006
Expiration Date: 02/28/2025

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. FOA-ETA-23-09		\$	\$	\$ 304,977.00	\$	\$ 304,977.00
2.						
3.						
4.						
5. Totals		\$	\$	\$ 304,977.00	\$	\$ 304,977.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
	FOA-ETA-23-09				
a. Personnel	\$ 60,000.00	\$	\$	\$	\$ 60,000.00
b. Fringe Benefits	31,200.00				31,200.00
c. Travel	15,000.00				15,000.00
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other	182,078.00				182,078.00
i. Total Direct Charges (sum of 6a-6h)	288,278.00				\$ 288,278.00
j. Indirect Charges	16,699.00				\$ 16,699.00
k. TOTALS (sum of 6i and 6j)	\$ 304,977.00	\$	\$	\$	\$ 304,977.00
7. Program Income	\$	\$	\$	\$	\$

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SECTION C - NON-FEDERAL RESOURCES

(a) Grant Program		(b) Applicant	(c) State	(d) Other Sources	(e)TOTALS
8.	FOA-ETA-23-09	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
9.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
10.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
11.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
12. TOTAL (sum of lines 8-11)		\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>

SECTION D - FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
14. Non-Federal	\$ <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
15. TOTAL (sum of lines 13 and 14)	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
	(b)First	(c) Second	(d) Third	(e) Fourth
16. FOA-ETA-23-09	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
17. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
18. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
19. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
20. TOTAL (sum of lines 16 - 19)	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>

SECTION F - OTHER BUDGET INFORMATION

21. Direct Charges: <input type="text"/>	22. Indirect Charges: <input type="text"/>
23. Remarks: <input type="text"/>	

Attachment C: Budget Narrative

VERMONT DEPARTMENT OF LABOR

BUDGET NARRATIVE
17.285 Apprenticeship USA Grants
FOA-ETA-23-09

Personnel**Total = \$60,000.00**

Personnel – List all staff positions by title including the roles and responsibilities. State the annual salary of each person, the percentage of each person's time devoted to the project, the amount of each person's salary funded by the grant and the total personnel cost for the period of performance.

Program Support Specialist
 (AOE Emerging Pathways Coordinator)

\$60,000 annually 1 FTE

AOE Staffing capacity – establish a new, dedicated position within the division overseeing educator licensing. The primary responsibility of the Emerging Pathways Coordinator will be to (1) collaborate with other AOE and VDOL colleagues whose work aligns with or will inform the development of the RAP; (2) engage in outreach, provide technical assistance and support, and communicate with supervisory unions/districts (SU/SDs), regional Career Technical Education (CTE) centers and districts, state-approved Educator Preparation Programs (EPPs), and other partners; and (3) support campaigns to cultivate an interest in Educator Apprenticeship Programs and pathways to paraeducator and educator licensing

Fringe**Total = \$31,200.00**

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

The Vermont Department of Education budgets 52% of personnel costs for the purposes of paying fringe benefits. Benefits are determined by a bargained state contract and include health insurance, retirement, life insurance, etc.

\$91,200.00 (Total Personnel)**Travel****Total = \$15,000.00**

Travel – 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.

To allow new position to travel to locations around the Northeast Kingdom to meet with stakeholders
 To allow the new position to travel to out of state meeting and conferences.

Equipment**Total = \$0**

Equipment – Equipment is not an allowable cost under this funding announcement and this line must be left as zero.

Supplies**Total = \$0**

Supplies – Supplies include all tangible personal property other than “equipment.” The detailed budget should identify categories of supplies (e.g., office supplies). List the quantity and unit cost and total cost per item.

Contractual – Stipends for Mentors**Total = \$0**

Contractual – For each proposed contract and subaward, specify the purpose, activities, and estimated cost. 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.

Construction**Total = \$0**

Construction – Construction costs are not allowed, and this line must be left as zero.

Other**Total = \$182,078.00**

Other – List each item in sufficient detail for DOL to determine whether the costs are reasonable or allowable. List item, such as stipends or incentives, not covered elsewhere.

Outreach and Advertising materials for recruiting licensed qualified mentors	\$15,000.00
Development of Training Modules for training the qualified mentors	\$40,000.00
Mentor Stipends (\$2000 each x 50 mentors)	\$100,000.00
Program Partners Support for Apprentices to cover unanticipated fees or costs related to program implementation	\$27,078.00

Indirect Charges**Total = \$16, 699.00**

Indirect Charges – If indirect charges are included on the SF-424A budget form, a Negotiated Indirect Cost Rate Agreement (NICRA) or Cost Allocation Plan (CAP) must be included as well as an explanation of how the indirect costs are calculated.

Vermont has an approved indirect budgetary rate approved by US DOL. The most recent letter is submitted with this narrative. The current rate is 18.31% of direct personal service expenditures paid (personnel).

TOTAL**\$ 304,977.00**

Attachment D: Statement of Work

NARRATIVE - Request Overview

The Vermont Department of Labor (VDOL), recognized as the State Apprenticeship Agency (SAA), is seeking \$304,977 in Federal financial assistance through Base Formula Funding option of the State Apprenticeship Expansion Formula Grant Program (FOA-ETA-23-09) to continue our efforts to expand the Registered Apprenticeship (RA) system in Vermont into the public sector by focusing on growing the number of Registered Apprenticeship programs for educators; we currently have no programs in this sector.

DESCRIPTION OF ACTIVITIES WE INTEND TO IMPLEMENT:

The Vermont Department of Labor (VDOL) with the Agency of Education (AOE) is seeking to use these funds to develop, pilot and scale Educator Apprenticeship Pathways and build sustainable, statewide capacity to support Registered Apprenticeship Programs (RAP) for Educators as we work to grow and diversify the educator workforce in Vermont.

Establish a Dedicated Position:

The AOE will use funds to establish a new, dedicated position within the division overseeing educator licensing. This dedicated position, the Emerging Pathways Coordinator, would focus on developing and supporting the development of pre-apprenticeship pathways and Registered Apprenticeship Programs (RAP) for educators.

The primary responsibility of the Emerging Pathways Coordinator will be to (1) collaborate with other AOE and VDOL colleagues whose work aligns with or will inform the development of the RAP (e.g., colleagues who oversee Career Pathways, CTE, Flexible Pathways, Educator Preparation Program approvals, Licensing and Registered Apprenticeships); (2) engage in outreach, provide technical assistance and support, and communicate with supervisory

unions/districts (SU/SDs), regional Career Technical Education (CTE) centers and districts, state-approved Educator Preparation Programs (EPPs), membership organizations such as the Vermont National Education Association (VT-NEA), Superintendents Association (VSA) and School Boards Association (VSBA) and other relevant organizations to establish RAPs across the state; and (3) support campaigns to cultivate an interest in Educator Apprenticeship Programs and pathways to paraeducator and educator licensing. The Emerging Pathways Coordinator's location in Licensing will help to prevent duplication of effort while ensuring RAPS successfully meet state accreditation and licensure requirements and licensure reciprocity with other states.

Develop Mentor Network and Training

The Emerging Pathways Coordinator will also focus on developing a network of qualified mentors in sponsoring employers to build and scale capacity statewide for Educator Registered Apprenticeship Programs. This will include outreach and advertising materials to recruit licensed teachers as mentors, stipends for mentors, and other costs related to the development of training modules and statewide travel.

Grow Your Own Pilot

Finally, in the immediate term, the Emerging Pathways Coordinator will support the project development and implementation of a "Grow Your Own" (GYO) framework and regional pilot for training future educators in Vermont that would inform and align with the Registered Apprenticeship Program.

"Grow Your Own" (GYO) is a partnership between school districts and educator preparation providers (EPPs) to select candidates (para-professionals, graduating high school seniors, career changers) from local communities to earn their degree and educator license in order to teach.

This would be achieved through a registered apprenticeship program that meets the requirements of the Vermont Department of Labor and the Agency of Education. In Vermont's instance of RAPIDS, we have integrated custom questions to help with data sharing with the Agency of Education. We expect that, through this project, we will identify other areas where data can be shared between the Agency and the Registered Apprenticeship Program. VDOL will plan on signing an MOU with ETA so that we can use RAPIDS data in this way.

The aspiring educators would earn their degree and license for free while being employed during their student-teaching/clinical apprenticeship experience. Upon graduating, aspiring educators would be hired as full-time teachers of record within the district. Vermont believes and national data suggests that GYO can improve retention and increase educator diversity (National Center for Grow Your Own).

To become a U.S. Department of Labor Registered Apprenticeship for Teaching program (and potentially access significant federal funding), Vermont understood it needed to establish and demonstrate the efficacy of a state GYO program. To do this, the Vermont Agency of Education and Department of Labor sought an organization to design and pilot a GYO program in an area of high need. "High need" is defined as a region of the state with a high number of job vacancies, educators serving on provisional licenses and demographic factors, including student poverty, and geographic and economic obstacles that impact an SU/SD's ability to appropriately staff their schools to serve student needs. The AOE identified that the SU/SDs located in Vermont's Northeast Kingdom (NEK) met those criteria (North Country SU, St. Johnsbury SD, Kingdom East SD, Orleans Central SU, Essex North SU, Caledonia Central SU and Orange East SU).

The organization that will be asked to design and implement this pilot or demonstration Grow Your Own program must be connected to the Northeast Kingdom and have a deep understanding of the local context and factors that both hinder the development of the educator workforce and the potential of young people, and members of the community who might be successfully recruited into a Grow Your Own apprenticeship program. The [Vermont Rural Education Collaborative](#) (VREC) already plays an essential role in the region supporting workforce development. VREC is made up of superintendents and other key staff from SU/SDs located in the Northeast Kingdom and the organization currently provides coordination of professional learning for some course work across the region.

The AOE currently stands ready to invest ARP ESSER state set-aside funds (federal emergency relief funds) to contract with VREC for the design of a state-approved program and to provide the technical and administrative assistance needed to implement a demonstration or pilot program in the NEK up to the start of the 2024-2025 school year (these federal funds end on September 30, 2024).

DESCRIPTION OF THE SPECIFIC POPULATIONS WE INTEND TO IMPACT:

Data shows that current Educator Preparation Programs and Vermont Higher Education Institutions tend to serve relatively homogeneous populations with strong financial and academic resources. In contrast, alternative routes to licensure tend to serve more diverse populations (e.g., racial, ethnic, linguistic, and economic diversity). However, many alternative programs are designed to be accelerated programs to license individuals currently teaching under an emergency or temporary license, and often result in low retention rates or greater rates of failure to achieve licensure due to competing demands on time and cost-prohibitive components (e.g., fees). Registered apprenticeships will provide longer on-ramps for candidates with a diversity of

backgrounds, sustained supports and training to accommodate the needs of these diverse populations, and equitable opportunities to demonstrate proficiency and achieve licensure. Vermont is a majority white state and is the third oldest state in the nation with a median age of 42.8 years. However, with a younger and growing population of BIPOC Vermonters, the State has been confronting long-standing racial disparities in state systems such as our schools and districts experiencing the worse staffing shortages tend to serve racially, ethnically, and linguistically diverse urban populations, as well as low-income rural populations. Taken together, Vermont's concurrent need to grow and diversify its educator workforce presents an acute vulnerability for the State. Educator Registered Apprenticeships will draw from the local community to ensure that as Vermont grows the educator workforce it is one that is representative of the students and communities it serves.

DESCRIPTION OF EFFORTS IN THE COMMUNITIES WE INTEND TO REACH:

Supervisory Unions/Districts (SU/SDs) will be a primary stakeholder serving as the sponsor employer. SU/SDs will be expected to follow all VDOL requirements for hosting apprentices, provide salaries and opportunities for apprentices to gradually assume responsibilities, and provide day-to-day training and feedback to apprentices. This will include identifying currently funded local initiatives, existing infrastructure, and other investments to support current staff and adapting to support emerging educators in the RAP (e.g., teacher coaching programs, new employee mentoring, professional development experiences, tuition reimbursement, etc.).

For the planned GYO project in the Northeast Kingdom, the organization asked to design and implement this pilot must have a deep understanding of the local context and factors that can hinder the development of the educator workforce and the potential of young people, have longstanding relationships with organizations and businesses across the region and state, and be

able to identify members of the community who might be successfully recruited into a Grow Your Own apprenticeship pathway. The Vermont Rural Education Collaborative (VREC) already plays an essential role in this region supporting workforce development and has expressed interest in supporting educator workforce development initiatives. VREC is comprised of superintendents and other key staff from SU/SDs located in the Northeast Kingdom, and the organization currently provides coordination of professional learning across the region.

The AOE is ready to invest ARP ESSER State set-aside funds to contract with VREC for the design of a state-approved, pilot program and to provide the technical and administrative assistance needed to implement a pilot program in the NEK up to the start of the 2024-2025 school year.

Here's Why We Want to do This:

The pandemic and resulting recovery phase have clarified and exacerbated pre-existing and ongoing educator workforce shortages in our public school system (PK-12 inclusive of CTE). During emergency closure and through remote learning, schools struggled to maintain continuity of operations when faced with staffing shortages caused by positive cases, the need to quarantine, and eventually increasing retirements or resignations. As the State planned for Education Recovery and the 2021 school year, projected and real challenges became more apparent and have continued and become increasingly pronounced. As the third oldest state in the nation with a median age of 42.8 years, and with a younger and growing population of BIPOC Vermonters, the State has also been confronting long-standing racial disparities in state systems such as our schools. Broad scale educator workforce shortages across endorsement areas, together with Vermont's concurrent need to grow and diversify its educator workforce,

presents an acute vulnerability for all Vermonters, and an unacceptable risk for our under-resourced and marginalized communities and populations in the State.

Even as the Public Health Emergency as a result of the pandemic officially comes to an end on May 11, 2023, Local Education Agencies (LEAs) – more commonly referred to as Supervisory Unions/Districts (SU/SDs) – will continue to confront and address learning loss and social, emotional and mental health needs, to re-engage learners and families, and to better serve historically marginalized populations, all without adequate and diverse educator staffing or capacity. As stated by the Vermont Agency of Commerce and Community Development (ACCD) in the Vermont Comprehensive Economic Development Strategy, “Education (Public Schools) is the largest employer in Vermont by far, almost double the employment compared to the second largest employer (General Surgical and Medical Hospitals).” Taken together with the data portrait shared further below in our statement of need, this suggests an immediate and growing concern related to adequately staffing and sustaining our schools to meet the needs of Vermont students now and in the future, and the economic health and development of the Vermont economy. Therefore, the Vermont Department of Labor and Agency of Education propose to use these funds to pilot and take to scale a Registered Apprenticeship Program for Teachers as one of several proven and promising policies, practices and strategies that, statewide, cultivate an interest in education, support innovations in and completion of educator prep programs, streamline certification and licensure, and increase recruitment, hiring and retention of racially, ethnically and linguistically diverse educators.

Statement of Need

As detailed through the data shared below, Vermont is facing high needs across the state for qualified paraeducators, provisional and emergency licenses, and alternative preparation

programs for educators.

Data Portrait

In FY21, a review of U.S. Ed.gov Teachers Shortage Area report (<https://tsa.ed.gov/#/home/>), indicated the following shortage areas were reported statewide for 2020-2021:

- Support Staff – Nurses; PK-12
- Support Staff – Library/Media Specialists; PK-12
- Science – General Sciences; 7-12
- Health & Physical Fitness – Physical Education; PK-12
- Health & Physical Fitness – Health Science; PK-12
- World Languages – Spanish; PK-12
- World Languages – French; PK-12
- CTE – Design & Technology Education; 6-12
- Mathematics – Basic & Advanced Mathematics; 7-12
- Administrative – Principals; PK-12

These data identified shortage areas related to both math and science (STEM) for grades 7-12, CTE educators, and world languages teachers (who would also be deemed bilingual educators) for PK-12, in addition to shortages in special education as reported by the AOE. This picture was further expanded based on data related to difficulty in adequately staffing our virtual academies and online learning classes, beginning in 2021 and continuing to this day, through our statewide Vermont Virtual Learning Cooperative (VTVLC).

Subsequently, these data were updated in June of 2021 based on the U.S. Department of Education (Department) evaluation of the AOE's proposed shortage areas. The Department designated the below academic disciplines or subject matter and geographic regions as teacher

shortage areas during the 2021-2022 school year which confirmed many of the areas listed above. These are:

- Career Technical Center Director
- School Librarian
- Health Education
- Family and Consumer Sciences
- Special Educator
- Modern Classical Language -Spanish
- School Counselor
- Mathematics (grades 7-12)
- Physical Education
- Driver Education

The Vermont Department of Labor's 2018-2028 Long-Term Occupational Projections report (<http://www.vtlmi.info/projlt.pdf#page=9>) indicates that Education, Training and Library Occupations ranks sixth out of all Major Occupation Clusters in number of annual openings in the state. Teacher assistants, registered nurses and nurse assistants, and childcare workers rank in the top 25 occupations with the greatest number of annual openings. Finally, of the top twenty-five occupations at each level of educational attainment typical for entry, ranked by the number of openings and by rate of growth, the following school-related positions rank in the top ten:

- Educational guidance, school, and vocational counselors
- Clinical, Counseling and School Psychologists
- Education Administration, Elementary and Secondary School
- Librarians
- Instructional Coordinators

According to the monthly Strong and Healthy Schools Survey administered throughout FY21 (data the SEA collected for a 12-month period) initial substitute shortage data suggested that filling openings, in the near term and potentially long-term, might prove challenging for SU/SDs

statewide, with pockets of greater/lesser intensity. Beginning in September 2020, 60% or more (on average) of our responding public schools reported not having adequate substitute coverage for absences every month. Broken out by five state regions, the lowest reporting region, at 48%, was in February 2021. In April 2021, when drafting a data summary for Vermont's Education Recovery State Plan, 67.52% of schools reported the inability to find substitute coverage. Of note, these data suggested that both populous regions of the state and extremely rural parts of the state consistently struggled to find substitute coverage, and while there was some regional variability in the data at times, no region reported below 50%. This suggested that not only was our public education system contending with educator shortages, it also had no "bench" of substitute teachers that could be called upon or recruited into full-time positions, forecasting a larger and longer-term problem to come.

In an effort to understand building leaders' perceptions of potential shortages and workforce issues they would be confronting in the 2021-2022 academic year, the Vermont Principals Association surveyed Vermont principals and found that 50 percent of respondents reported that it was "likely" to "very likely" that positions in their schools would go unfilled, 28 percent reported that 5-10 percent of their positions might go unfilled, and 21 percent reported that they were anticipating more retirements than usual in the coming year.

Areas of Focus

Provisional and emergency licenses

In cases where an unlicensed educator is hired by an SU/SD, the hiring superintendent can apply for a provisional or emergency license for the educator. A provisional license can be issued to a licensed teacher working outside of their endorsement area, or an unlicensed educator with at least a bachelor's degree in the content area, or who successfully passed the Praxis II content

area requirements. An emergency license is issued in extreme cases where there are no other qualified candidates, and the educator has a bachelor's degree outside of the content area.

Provisional licenses are valid for two years, but an additional one year is possible for extenuating circumstances. Emergency licenses are only valid for one year. Prior to the pandemic, between 2016 to 2020, the State of Vermont would have a total of approximately 800 valid provisional and emergency licenses each year (including provisional licenses on their 2nd or 3rd year). In those same years an average of 47.6 percent of those licenses were held by educators with no other license. As of April 2023, there are a total of 1,328 currently valid provisional and emergency licenses (with an additional 190 still in process). Of the 1,328 educators, 60% do not hold any additional license, a dramatic change from a stable five-year trend.

Alternative preparation programs

Vermont Traditional Preparation Programs based at institutes of higher education (IHEs) have had a dramatic decline in enrollment and program completions over the past quarter century, while alternative route programs have had an overall increase (with significant annual fluctuation). Academic year 2000 - 2001 saw 548 program completers from traditional degree licensure programs in Vermont, and 52 program completers through alternative routes. By the academic year 2020 - 2021 traditional program completer rates have dropped to 272 educators, and alternative routes have increased to 96 total completers. While alternative programs have had an impressive increase of almost 200 percent, it has not come close to making up for declining traditional route numbers, or the massive increase in educators on Provisional and Emergency Licenses needing an accelerated alternative pathway to licensure. The Licensing Office estimates that anywhere between 50-60 percent of initial licenses are issued to licensed educators moving to Vermont through reciprocity, making our State an importer of qualified teacher candidates.

Anecdotally, SU/SDs report that many of these educators ultimately are unable to find affordable housing and break their contract.

Paraeducators

Every October, the AOE conducts a Special Education Personnel survey completed by special education directors. For each year between 2017-2020 The State of Vermont had a consistent 97 percent of paraeducators identified as Highly Qualified (HQ) under Title IA of ESSA. The remaining 3 percent included less than 10 FTE positions that were filled with a not fully qualified paraeducator, and an average of 80 vacancies statewide each year. In the 2021 - 2022 academic year, the state had only 89 percent of paraeducators identified as HQ, with 38 not fully qualified individuals and 277.33 vacant FTE positions. While the statewide total is 11 percent vacant or not fully qualified, a summer 2021 survey to Special Education Directors showed regional variation with more extreme vacancy rates. Supervisory Unions/Districts (SU/SDs) in South Central Vermont, which includes Rutland and Windsor counties, reported they were in the process of filling 33 percent of paraeducator FTE positions within their districts just weeks before the school year started. By October, one SU/SD in this region still had a 15 percent vacancy rate for paraeducator positions.

In summary, the above data portrait indicates a new educator preparation pathway is needed in the State of Vermont. A Registered Apprenticeship Program for Educators would meet the State's dual goals of growing and diversifying the educator workforce, and would allow for community members, existing school staff and recent high school graduates to address paraeducator vacancies, while simultaneously working and training to be a licensed Vermont educator.

PROGRAM OUTPUTS

As a result of SAEF grant funding – by end of year 2:	
Total RAPS created*	2
Total RAPS expanded**	0
Total pre-apprenticeship programs created^	2
Total pre-apprenticeship programs expanded~	0
Total number of individuals enrolled in a RAP developed using SAEF grant funds	50

* “RAPS Created” – This is employer specific – either the employer has signed an acceptance agreement, counting it as a new program for that employer, or the employer has a signed set of standards, also counting it as a new program for that employer.

** “RAPS Expanded” – If an employer had an existing program and they were able to increase the number of apprentices in programs related to the work of this grant.

^ “Pre-apprenticeship Programs Created” – Each organization that has an approved program that meets the Federal definition of a quality pre-apprenticeship program.

~ “Pre-apprenticeship Programs Expanded” – Organizations that have a pre-existing approved program, meeting the Federal definition, that were able to add spots.

SUCCESS BENCHMARKS AND MEASURES

Year 1

Q1

- New AOE position pool request submitted to State HR process.
- Early communication and coordination with SU/SDs and EPPs initiated.
- GYO SOW and Contract drafted and finalized by AOE with VDOL Technical Assistance
- GYO SOW and Contract executed.

Q2

- New AOE Position recruitment process started.
- Ongoing communication and coordination with SU/SDs and EPPs.
- Mentoring recruitment and training plan outlined by AOE, VDOL and identified HEI partners.
- GYO Project (Pilot RAP) Plan kick-off in coordination with GYO sponsor and in consultation/collaboration with VDOL.

Q3

- AOE with VDOL and Sponsor develop parameters and criteria for registration of pre-apprenticeship and youth-apprenticeship programs.
- AOE registers apprenticeship program with VDOL.

- New AOE Emerging Pathways Coordinator position filled.
- Established partnerships (and MOUs) between GYO Partner Organization, SU/SDs, and EPPs to establish at least one pre-apprenticeship program and/or at least one RAP.
- Targeted Recruitment Campaign outlined for cultivating an interest in educator apprenticeship candidates and educator mentors.

Q4

- Sponsor registers RAP standards with VDOL
- RAP submits new licensure program applications through state accreditation process (ROPA).
- AOE Targeted Recruitment Campaign and training program launched.
- SU/SD based apprentice recruitment begins.
- Contracted GYO Partner Organization submits report.

Year 2

Q1-Q2

- RAP(s) approved through state accreditation process to recommend apprentices for licensure.
- Employer Sponsor sites identified.
- Mentor training and network launched.

Q3-Q4

- First apprentice cohort(s) enrolled in RAP (and pre-apprenticeship Program) and apprenticeship site and mentor matching completed.
- First cohort of Mentors complete training.

Year 3 – Using funding from other sources

Q1-Q2

- First apprentice cohort(s) half-way through year one of apprenticeship or pre-apprenticeship.
- Mid-year survey of apprentice cohort completed.
- Mid-year survey of mentors completed.

Q3-Q4

- End-of-year survey of apprentice cohort conducted.
- End-of-year survey of mentors completed.
- End-of-year assessment of RAP pilot completed.
- Identify expansion sites and new apprentice and mentor recruitment.
- Begin scale-up number of RAPs.

Year 4 – Using funding from other sources

Q1-Q2

- Mid-year survey of first apprenticeship cohort completed (First cohort(s) half-way through year two of apprenticeship or pre-apprenticeship).
- Mid-year survey of second apprentice cohort completed (Second cohort(s) half-way through year one of apprenticeship or pre-apprenticeship).

Q3-Q4

- End-of-year survey of second apprentice cohort conducted.
- End-of-year survey of new mentors completed.
- End-of-year assessment of second RAP pilot completed.
- Two-year assessment of first RAP pilot completed and Results Oriented Program Approval (ROPA) report submitted for continued State Accreditation
- Continue outreach and recruitment campaign, site expansion and scale-up of RAPs.

Year 5 – Using funding from other sources

Q1-Q2

- Mid-year survey of First apprenticeship cohort completed (First cohort(s) half-way through Year Three of apprenticeship or pre-apprenticeship).
- Mid-year survey of Second apprenticeship cohort completed (Second cohort(s) half-way through Year Two of apprenticeship or pre-apprenticeship).
- Mid-year survey of Third apprenticeship cohort completed (Third cohort(s) half-way through Year One of apprenticeship or pre-apprenticeship).

Q3-Q4

- Continue outreach and recruitment campaign, site expansion and scale-up of RAPs.
- Complete evaluation of pilot RAPs across the three cohorts to identify design parameters, quality indicators, and barriers, and to establish Educator RAP quality standards and rubric.

NAMES OF PARTNER ORGANIZATIONS

Below includes but is not exclusive to the following identified partner organizations:

Community Partner: Vermont Rural Education Collaborative (VREC)

Local Education Agencies (LEAs) – Supervisory Unions/Districts: North Country SU, St. Johnsbury SD, Kingdom East SD, Orleans Central SU, Essex North SU, Caledonia Central SU, and Orange East SU

Educator Preparation Programs (EPPs): Vermont Higher Education Collaborative (VHEC), University of Vermont (UVM), Vermont University System (VSU)

Membership and Other Education Partners: Community College of Vermont (CCV), VT-NEA, VSA, VSBA, VSCEA, VPA

Organizational, Administrative, and Fiscal Capacity

Capacity of Lead Applicant, Partnership Structure, and Administrative Controls and Systems:

Vermont’s proposed activities are based on a pre-existing structure and partnership between school districts, the Agency of Education, and the Vermont Rural Education Collaborative (VREC). Vermont Department of Labor, as the Lead Applicant, has the capacity to administer the grant, and has the expertise related to Registered Apprenticeship; the Agency of Education has the relationships with local school districts and VREC, as well as being the entity that regulates the teaching profession in Vermont. Both the Department of Labor and the Agency of Education, as State Agencies, led by political appointees who serve the Governor. Both Agencies work closely together within the workforce development system. The Agency of Education has the vision for the project, and we have financial and administrative controls in place to ensure funds can get from one State Agency to another.

Fiscal, Data Collection, and Performance Reporting Systems: VDOL has a very long history of managing federal grants and programs. VDOL’s Finance Unit composed of a Chief Financial Officer, financial administrators, and financial auditors. As a recipient of many millions of Federal dollars each year, all of which are on a reimbursable basis, VDOL has substantial experience with the tasks and obligations involved in administering a federal reimbursable grant, tracking expenditures, submitting reports, monitoring subawards and contracts, and participating in audits. VDOL adheres to all federal and state fiscal policies and regularly trains staff on how to apply them. VDOL maintains a data system (Vermont Job Link) and has staff that understand WIPS, the PIRL, and other Federal reporting requirements. While we expect there to be some data collected, because this request is only for **Base Funding**, we expect, based on the requirements in the FOA and the structure of the project, that there will be minimal reporting requirements. Progress will be measured against benchmarks established in the project narrative

Sustainability: This Base Funding request will allow the Agency of Education to focus on supporting school districts and other partners learn how to create a Registered Apprenticeship Program for teachers, and will afford the Agency the opportunity to modify and update licensing

rules to recognize RA as a valid preparation path for people who want to be teachers. Most of the costs of designing and setting up this program will be in the first two years. Because there is much interest in our General Assembly on Registered Apprenticeships, and on alternative pathways to licensure for teachers, we expect that any associated costs after year 2 could be supported with State Apprenticeship funds, or, if we our approach is successful, we would explore additional allocations from the General Assembly.

ATTACHMENT

Staffing Plan and Organizational Structure/Chart

The staffing specific to this grant is as follows:

Commissioner, Department of Labor: 100% funded by other sources; including indirect
Appointed by Governor to manage the Department of Labor, including promoting and support apprenticeship participants, sponsors, training providers, and industry groups.

Chief Financial Officer: 100% funded by other sources; including indirect
Qualifications: Bachelor's degree and 10+ years of professional level accounting, budgeting, fiscal auditing, fiscal analysis, federal program fiscal administration or other professional level fiscal operations experience including managing a major fiscal program or operation.

Director of Workforce Development: 100% funded by other sources
Appointed by the Governor to manage the Workforce Development Division of the Vermont Department of Labor, including promoting and support apprenticeship policies and programs, participants, sponsors, training providers, and industry groups.

Assistant Director for Programs and Strategic Partnerships: 100% funded by other sources
Qualifications: Associate's Degree and 30+ years in workforce development; deep understanding of WIOA, employer services, labor force information use, talent pipeline development, and supported employment practices. Oversees statewide team of business services specialists.

State Apprenticeship Director: 100% funded by other sources
Qualifications: Bachelor's Degree and 15+ years in education or workforce development; deep understanding or experience with curriculum development; excellent business outreach and engagement skills, systems-level development experience

Grants & Contract Manager: 100% funded by other sources
Qualifications: Bachelor's plus 5 years of experience in finance or legal work. Extensive knowledge of principals and practices of programs management, procurement protocols, accounting and program evaluation. Knowledge of grant administration and monitoring, including legal terms and statutory and regulatory requirements. Knowledge of financial auditing work, accounting systems, and principles of financial management.

Business Services Specialist Team: 100% funded by other sources

Qualifications: Members of the team have various qualifications and are located across the state in our AJC partner locations. Excellent business outreach and engagement skills, and systems-level development experience.

Communications Coordinator: 100% funded by other sources

Qualifications: Bachelor's plus 5 years of experience in communications. Creates promotional and outreach materials, coordinates writing, public relations, website and other promotional activities for the Department. Works directly with leadership to develop strategies for outreach and education activities of the Department in all subject areas. Acts as media liaison and cultivates media good will toward the Department through prompt and effective responses to inquiries and timely provision of research. Coordinates web policy, editing, and means to achieve desired upgrades with designees from each division.

VDOL Program Data Analyst: 100% funded by other sources

Qualifications: Bachelor's plus 5 years of experience in data analysis and system administration. This position functions as a reporting specialist and data analyst, assigned to support VDOL's Registered Apprenticeship Program, among others. This person is a subject matter expert on WIPS, the PIRL, and other aspects of reporting to support VDOL in meeting federal reporting requirements for apprenticeship grants going forward.

VDOL Program Support Specialist – Apprenticeship Program (2): 100% funded by other sources

Qualifications: Bachelor's plus 5 years of experience in system administration and quality improvement. This position provides ongoing system development support for participant and sponsor focused activities. It provides technical assistance and training to staff and program partners, assisting in the development and management of individual programs.

AOE Education Division Director – Student Pathways: 100% funded by other sources

Qualifications: Master's plus 10 years of experience in educational programs and management. This position oversees Career Technical Education, Adult Education and Literacy, 21C After School Program, and Vermont's Flexible Pathways to Graduation initiatives.

AOE Education Division Director – Educator Quality: 100% funded by other sources

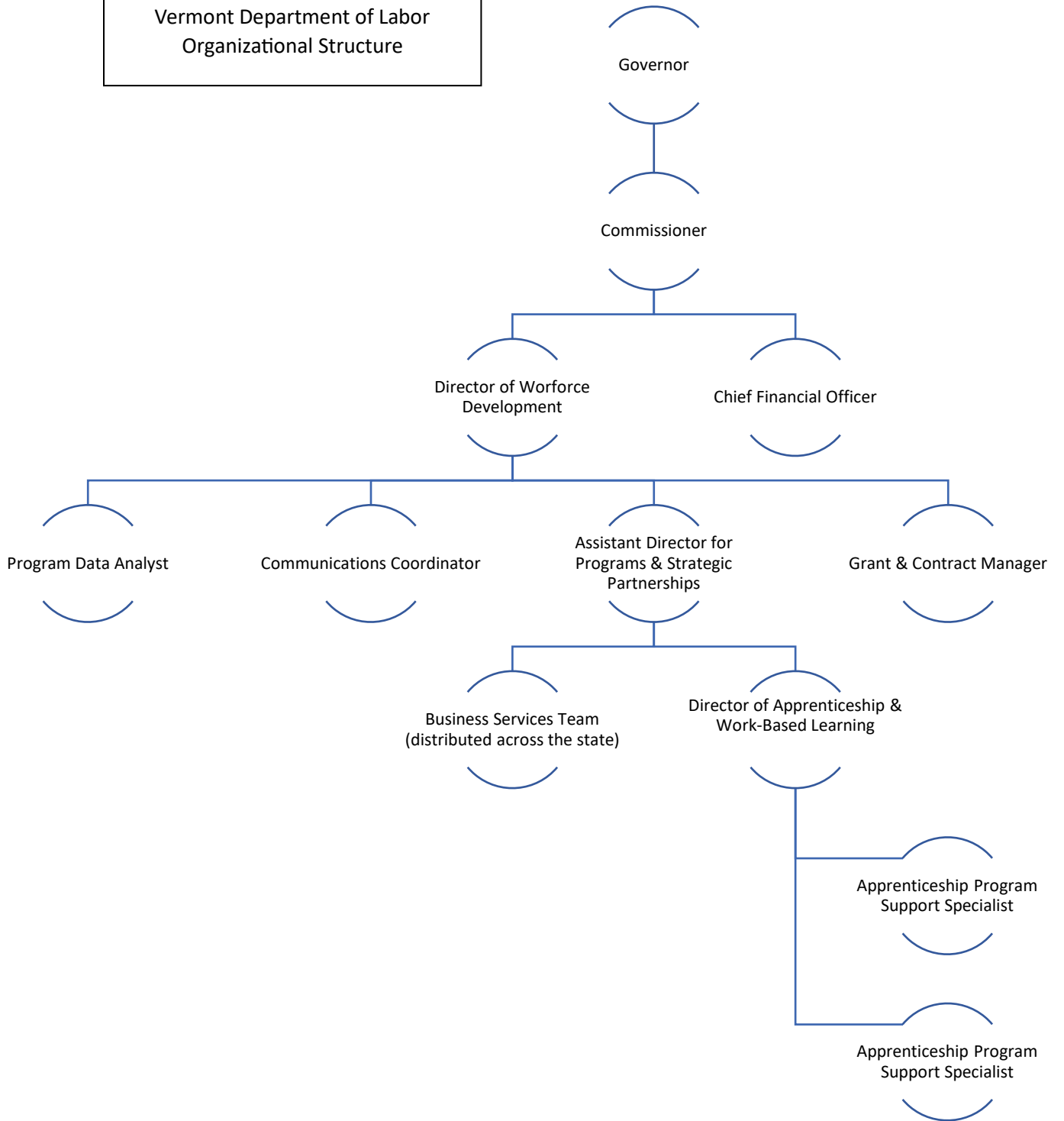
Qualifications: Master's plus 10 years of experience in educational programs and management. This position oversees professional licensing standards and the Results Oriented Program Approval (ROPA) process for Teacher Education programs.

AOE ROPA Program Coordinator: 100% funded by other sources

Qualifications: Bachelor's degree plus 5 years of experience in the ROPA program, and experience reviewing and interpreting Vermont's Educator Licensing Rules.

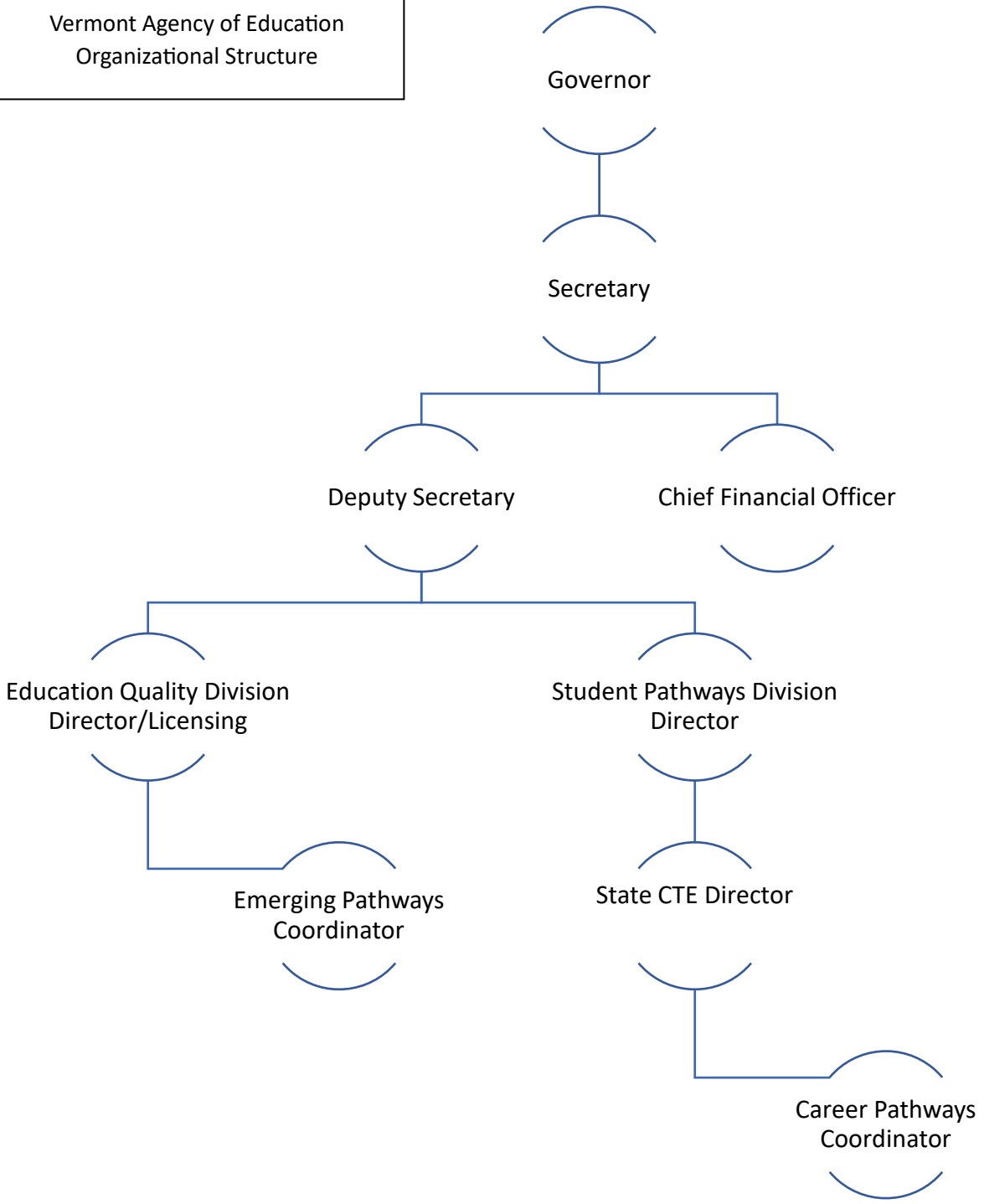
ATTACHMENT

Vermont Department of Labor
Organizational Structure



ATTACHMENT

Vermont Agency of Education
Organizational Structure



State Apprenticeship Expansion Formula Funding Opportunity April 2023	
Lead Applicant/Organization Name:	Vermont Department of Labor
Lead Applicant Entity Type:	State Workforce Agency & State Apprenticeship Agency
Lead Applicant City and State:	Montpelier, VT
Funding Option:	Base Funding
Funding Amount Requested:	\$304,977.00
Project Title:	Vermont Teacher Registered Apprenticeship Program
Summary of Program Activities:	<p>AOE Staffing capacity – establish a new, dedicated position within the division overseeing educator licensing. The primary responsibility of the Emerging Pathways Coordinator will be to (1) collaborate with other AOE and VDOL colleagues whose work aligns with or will inform the development of the RAP; (2) engage in outreach, provide technical assistance and support, and communicate with supervisory unions/districts (SU/SDs), regional Career Technical Education (CTE) centers and districts, state-approved Educator Preparation Programs (EPPs), and other partners; and (3) support campaigns to cultivate an interest in Educator Apprenticeship Programs and pathways to paraeducator and educator licensing.</p> <p>Mentor Training and Network - the Emerging Pathways Coordinator will develop a network of qualified mentors in sponsoring employers to build and scale capacity statewide for Educator Registered Apprenticeship Programs.</p>

	<p>This will include outreach and advertising materials to recruit licensed teachers as mentors, stipends for mentors, and other costs related to the development of training modules and statewide travel.</p> <p>“Grow Your Own” (GYO) RAP – establish, pilot and demonstrate an effective district-based earn as you learn/GYO Registered Apprenticeship Programs model in partnerships with, employers, sponsor organizations and Education Preparation Programs (EPP). the Emerging Pathways Coordinator will support the project development and implementation of a “Grow Your Own” (GYO) framework and regional pilot for training future educators in Vermont that would inform and align with the Registered Apprenticeship Program.</p>
<p>Total Number of apprentices enrolled in RAPS during the life of the grant, if applicable:</p>	<p>Anticipate up to 50</p>
<p>Population(s) to be Served:</p>	<p>Rural, BIPOC, Low-income, and Educator Shortage Populations</p>
<p>List the name of the Required Partner (for states with Federally-recognized SAAs):</p>	<p>Vermont Department of Labor</p>
<p>List the name(s) of Optional Partners, as applicable:</p>	
<p><i>Local School Districts</i> - North Country Supervisory Union, St. Johnsbury School District, Kingdom East School District, Orleans Central Supervisory Union, Essex North Supervisory Union, Caledonia Central Supervisory Union, and Orange East Supervisory Union</p>	
<p><i>Vermont State University</i></p>	
<p><i>Vermont Chapter – National Educators Association</i></p>	

<i>Vermont Rural Education Collaborative (VREC)</i>	
Targeted Industry and/or Occupation(s):	Public Sector/Education Services; Teacher
Subrecipient Roles:	There are no subrecipients for this grant.
List of credential(s) to be awarded:	Vermont Educator License
Public Contact Information:	
Name:	Jay Ramsey
Title:	Interim Director of Workforce Development
Address:	7 Green Mountain Drive, Montpelier, VT
Phone Number:	802-828-4343
E-mail Address:	jay.ramsey@vermont.gov

FIVE YEAR PLAN

Context:

In Vermont, the Department of Labor (VDOL) is identified as the State Workforce Agency as well as the State Apprenticeship Agency (SAA). Within the structure of VDOL, the Workforce Development Division implements and oversees the workforce development activities funded under Titles I and III of the Workforce Innovation and Opportunities Act (WIOA), the Trade Adjustment Act (TAA), the Jobs for Veterans State Grant (JVSG), the Work Opportunity Tax Credit (WOTC), the Migrant and Seasonal Farm Worker program (MSFW), and various other state and federally funded programs, including Registered Apprenticeship (RA) and the SAA.

In 2020, VDOL was awarded \$450,000 in Apprenticeship State Funds (State Apprenticeship Expansion) with a period of performance that ends June 30, 2023. These funds are being used to assist in the transformation and modernization of our RA system. The grant has three overarching goal – adopt RAPIDS, create toolkits and templates to assist in developing and operating new Registered Apprenticeship Programs (RAPs), and establish a system for recognizing pre-apprenticeship and youth-apprenticeship programs.

On September 30, 2022, Vermont successfully transitioned its historical data and program registration processes to RAPIDS. Our RA team (3 people) have been working individually with every single sponsor to get their programs re-registered in RAPIDS. This has been a labor intensive process, but it has functioned as quality control measure for every program. Many employers have new people managing their programs, and during this process we discovered there were many programs that seemed to be on “auto-pilot” that were not meeting the standards of a registered program established in 29 C. F. R. 29. As a result, employer/sponsors are having

to re-establish or revise a work-process schedule, or they are re-thinking their related instruction and being connected to programs and resources that were developed under our other federally funded Apprenticeship State Expansion grant.

We've used the process of getting programs re-registered in RAPIDS to develop toolkits and templates that we will continue to use and revise in the next five years. In March, the Workforce Development Division hired a Communications and Outreach Coordinator to support the communication and outreach needs of every program in the division, focusing first on the needs of the RA Program and promotion of job fairs.

The final overarching activity of our SAE grant was to establish a system for recognizing pre-apprenticeship and youth-apprenticeship programs. We took this a step further by working with our General Assembly on a complete and total re-write of our existing apprenticeship statute, which hasn't been updated since the late 1990s. The draft legislation, now being considered by both chambers is primarily structured around the requirements of 29 CFR 29 and 30, borrows language and definitions, including pre-apprenticeship and youth apprenticeship from the National Apprenticeship Act, creates a State Apprenticeship Advisory Board (SAAB), gives VDOL the authority to promulgate rules, a provides a more responsive structure to ratios and the granting of ratio variances. The General Assembly has been particularly interested in the EEO requirements of the program and would like to see Vermont make progress in diversifying the RA program. If this bill becomes law, VDOL will use existing state apprenticeship funds to assist in implementation of the law over the life of this Federal grant. These state funded activities include:

1. training staff on the requirements of the law;

2. informing sponsors, employers, and the general public of changes in the law- specifically ratios, Equal Employment Opportunity requirements, and program registration standards;
3. providing training and support for employer development of EEO plans;
4. developing further requirements, in VDOL policy and in partnership with other partnering State agencies, regarding pre-apprenticeship and youth-apprenticeship program recognition processes;
5. continuing to provide responsive support and assistance to employers seeking to develop new programs by promoting our existing set of multi-employer sponsors and by raising awareness of the National Apprenticeship Standards of Apprenticeship

The bill also requires the creation of a 5-year strategic plan and annual reports to the General Assembly related to the plan and the Department's efforts to increase diversity of registered apprentices. **If the bill becomes law by the end of May, the 5-year plan outlined below will be updated within the 120-day window of the grant award date permitted in the FOA and will encompass all planned strategic activities over the next 5 years, including those planned as this base funding request.**

State Workforce Agency	VERMONT DEPARTMENT OF LABOR
Year 1 Quarter 1 (July-September 2023)	
GOAL # 1	By September 30, approvals in place to hire position, and for contract to design and implement “grow your own” pilot program
GOAL # 2	By September 30, communication plan in place, and initial communication and coordination with school districts (SU/SD) and Educator Preparation Programs (EPP) has taken place.
GOAL # 3	By July 31, an MOU is in place between Vermont Department of Labor and the Agency of Education, that allows the transfer of funds for the Emerging Pathways Coordinator position.
Activities:	
Activity 1: Project Communication	After awards are announced, and prior to the start of the performance period, the Agency will communicate with project partners and begin to solicit interest in participation by school districts.
Activity 2: Formalize Relationships	After awards are announced, the Agency of Education will initiate a contract with Vermont Regional Education Collaborative (VREC) for creation of a Grow Your Own pilot model, funded with pandemic recovery funds for education.
Activity 3: Position Approval	The Agency of Education will submit the necessary paperwork to request the Emerging Pathways Coordinator position from the position pool.
Lead/Support Implementer	Agency of Education
Deliverables:	
MOU between VDOL and AOE	Executed MOU addressing transfer of grant funds for Emerging Pathways Coordinator Position.
GYO Contract executed.	Executed contract with VREC for Grow Your Own pilot model
Cross-cutting principles	Equity, Good Jobs/Fair Labor standards, Support for high-quality, sustainable programs, new opportunities for innovation
Time Frame	July - September
Costs	Project Communication costs

Year 1		Quarter 2 (October – December 2023)	
GOAL # 1		Ongoing: The Agency will continue to communicate with project partners.	
GOAL # 2		By December 31, the Agency will have filled the Emerging Pathways Coordinator position.	
GOAL # 3		By December 31, the Agency, VDOL, and partners will have created a recruitment and training plan for mentors.	
Activities:			
Activity 1: Project Communication		Ongoing communication and coordination with SU/SDs and EPPs.	
Activity 2: Position Recruitment		Emerging Pathways Coordinator position recruitment begins.	
Lead/Support Implementer		Agency of Education	
Deliverables:			
Developed mentor training and recruitment plan		Mentoring recruitment and training plan outlined by AOE, DOL and identified HEI partners.	
GYO Project Plan Kick-off		Project Plan kick-off and coordination with GYO Contractor.	
Cross-cutting principles		Equity, Good Jobs/Fair Labor standards, Support for high-quality, sustainable programs, new opportunities for innovation	
Time Frame		October – December 2023	
Costs		Mentor Training Development; Travel; Communication/promotion; Salary/Benefits	

Year 1		Quarter 3 (January – March 2024)	
GOAL # 1		By January 31, the Emerging Pathways Coordinator position will be hired and on-boarded.	
GOAL # 2		By February 28, a quality pre-apprenticeship program will be developed and approved by VDOL	
GOAL # 3		By February 28, a Registered Apprenticeship Program for the occupation of Teacher will be submitted to VDOL for approval.	
GOAL # 4		By March 31, a recruitment campaign for apprentices and mentors will be developed.	
Activities:			
Activity 1: Emerging Pathways Coordinator position filled		The Emerging Pathways Coordinator position will be hired and on-boarded.	
Activity 2: Program Development		Partners will work with VDOL to develop and approve pre-apprenticeship and Registered Apprenticeship Programs for to-be-defined occupations in Education.	

Activity 3: Recruitment Campaign	Partners develop a recruitment campaign to attract apprentices and mentors.
Lead/Support Implementer	Agency of Education
Deliverables:	
Pre-Apprenticeship and RAP Programs submitted to VDOL for approval	Established partnerships (and MOUs) between GYO Partner Organization, SU/SDs, and EPPs to establish at least one pre-apprenticeship program and/or at least one RAP.
Recruitment Campaign Outlined	Targeted Recruitment Campaign outlined for cultivating an interest in educator apprenticeship candidates and educator mentors.
Cross-cutting principles	Equity, Good Jobs/Fair Labor standards, Support for high-quality, sustainable programs, new opportunities for innovation
Time Frame	January – March 2024
Costs	Salary/Benefits; Travel; Unanticipated Costs related to quality pre-apprenticeship set-up; Promotion/Recruiting; Stipends

Year 1 Quarter 4 (April – June 2024)	
GOAL # 1	By April 30, the apprentice and mentor recruitment campaign will be launched.
GOAL # 2	By May 31, VDOL approved RAPs will be submitted for review through the AOE’s ROPA accreditation process.
Activities:	
Activity 1: Project Ramp-Up	AOE Targeted Recruitment Campaign and training program launched.
Activity 2: Recruitment Ramp-Up	SU/SD based apprentice recruitment begins for next school year.
Activity 3:	RAP submits new licensure program applications through state accreditation process (ROPA).
Lead/Support Implementer	Agency of Education
Deliverables:	
GYO Report	Contracted GYO Partner Organization submits report.
Cross-cutting principles	Equity, Good Jobs/Fair Labor standards, Support for high-quality, sustainable programs, New opportunities for innovation
Time Frame	April – June 2024
Costs	Salary/Benefits; Travel; Unanticipated Costs related to quality pre-apprenticeship set-up; Promotion/Recruiting; Stipends

Year 2		Quarter 1 & 2 (July – December 2024)	
Activities			
Activity 1:		RAP(s) approved through state accreditation process to recommend apprentices for licensure.	
Activity 2:		Employer Sponsor sites identified.	
Activity 3:		Mentor training and network launched.	
Activity 4:		Identify expansion funds.	
Lead/Support Implementer		Agency of Education	
Time Frame		July – December 2024	
Costs		Federal funds: Salary/benefits; stipends; promotional activities	

Year 2		Quarter 3 & 4 (January – June 2025)	
Activities			
Activity 1:		First apprentice cohort(s) enrolled in RAP (and pre-apprenticeship program) and apprenticeship site and mentor matching completed.	
Activity 2:		First cohort of Mentors complete training.	
Activity 3:		First apprentices registered with VDOL	
Activity 4:		Develop plan for expansion into new sectors in years 3, 4, 5,	
Lead/Support Implementer		Agency of Education	
Time Frame		January – June 2025	
Costs		Federal funds: Salary/benefits; stipends; supportive services; education (RTI) costs; promotional activities	

Year 3		Quarter 1 & 2 (July – December 2025)	
Activities			
Activity 1:		Convene employers in Weatherization to develop plan for expanding apprenticeships in Weatherization and Home Performance.	
Activity 2:		Convene employers in Hospitality/Tourism to develop plan for expanding apprenticeships in the Hospitality Sector.	
Activity 3:		Develop and provide technical assistance to employers for Equal Employment Opportunity requirements.	
Time Frame		July – December 2025	

Year 3		Quarter 3 & 4 (January – June 2026)	
Activities			
Activity 1:	Implement plan for Weatherization and Home Performance		
Activity 2:	Implement plan for Hospitality & Tourism		
Time Frame	January – June 2026		

Year 4		Quarter 1 & 2 (July – December 2026)	
Activities			
Activity 1:	Convene employers in Cybersecurity/IT to develop plan for expanding apprenticeships in Cybersecurity.		
Activity 2:	Support expansion of apprenticeships in Manufacturing & Healthcare		
Time Frame	July – December 2026		

Year 4		Quarter 3 & 4 (January – June 2027)	
Activities			
Activity 1:	Implement plan for expanding apprenticeships in Cybersecurity.		
Activity 2:	Implement expansion of apprenticeships in Manufacturing & Healthcare		
Time Frame	January – June 2027		

Year 5		Quarter 1 & 2 (July – December 2027)	
Activities			
Activity 1:	Develop or Revise Apprenticeships in State Government		
Activity 2:	Expand public sector apprenticeships for municipalities		
Time Frame	July – December 2027		

Year 5		Quarter 3 & 4 (January – June 2028)	
Activities			
Activity 1:	Develop or Revise Apprenticeships in State Government		
Activity 2:	Expand public sector apprenticeships for municipalities		
Time Frame	January – June 2028		