



STATE OF VERMONT
JOINT FISCAL OFFICE

MEMORANDUM

To: Joint Fiscal Committee members
From: Daniel Dickerson, Fiscal Analyst *DWD*
Date: December 13, 2019
Subject: Grant Requests – JFO #2983-2986

Enclosed please find four (4) items, including two (2) limited-service positions, which the Joint Fiscal Office has received from the Administration.

JFO #2983 – \$135,728 from Vibrant Emotional Health to the VT Dept. of Mental Health. This funding will be used to build capacity within Vermont to provide in-state call response for individuals that call into the National Suicide Prevention Lifeline. Much of the grant funding will be used for sub-contracts with two in-state organizations to provide lifeline services: Northwestern Counseling & Support Services, and Vermont 2-1-1. The remainder of grant funding will cover salary, benefits and travel for an existing department employee (approx. 0.09 FTE) to serve as a state liaison for the project. The main project goal will be to reach or exceed a 70% in-state lifeline answer rate by Sept. 30, 2021 (current in-state answer rate is 0%).
[JFO received 12/05/19]

JFO #2984 – \$2,040,000 from the U.S. Dept. of Transportation to the VT Agency of Transportation. This funding was received as part of the 2019 BUILD grant program. The funding received by Vermont represents 17% of the total \$12,000,000 grant award, with the rest going to the New Hampshire Dept. of Transportation. The funds will be used towards a \$50 million project to build a new VT/NH 119 bypass bridge, which will replace two structurally deficient truss bridges crossing the Connecticut River and connecting Hinsdale, NH to Brattleboro, VT. The old bridges will be maintained for pedestrian and bicycle use.
[JFO received 12/05/19]

JFO #2985 – \$679,990 from the U.S. Dept. of Labor to the VT Dept. of Labor. This funding will be used to expand the availability and quality of registered apprenticeship programs in Vermont. This work will be done over three State fiscal years (FY20-22). The four primary goals of the program will be: 1) establish strong organizational leadership within the Department through an expansion and reorganization of the apprenticeship division, 2) establish an effective information management system for Vermont's registered apprenticeship programs, 3) carry out public outreach and establish communication tools, and 4) increase the recruitment and enrollment of underrepresented participants in apprenticeship programs.
[JFO received 12/05/19]

JFO #2986 – \$1,050,000 from U.S. Dept. of Health and Human Services to the VT Dept. of Disabilities, Aging and Independent Living. This funding will be used to enhance state adult protective services through the Elder Abuse Prevention Interventions program and will seek to serve both victims and perpetrators of elder abuse. The primary objectives will be to 1) provide additional options for perpetrators who are placed on the Vermont Adult Abuse Registry, 2) decrease recidivism rates among offenders, 3) reduce re-victimization rates among maltreatment victims, 4) and increase reporting to the national Adult Protective Services (APS) database. **Two (2) limited-service positions are being requested in conjunction with this grant.** The two positions would be titled APS Restorative Justice Case Manager. This grant would require \$350,000 in State matching funds over the 3-year term of the program.

[JFO received 12/10/19]

Please review the enclosed materials and notify the Joint Fiscal Office (Daniel Dickerson at (802) 828-2472; ddickerson@leg.state.vt.us) if you have questions or would like an item held for legislative review. Unless we hear from you to the contrary by December 27, 2019 we will assume that you agree to consider as final the Governor's acceptance of these requests.

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

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

RECEIVED
 Agency of Administration
 DEC 05 2019
 JOINT FISCAL OFFICE

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

Grant Summary:		To expand availability and quality of registered apprenticeship programs in Vermont.			
Date:		11/27/2019			
Department:		Vermont Department of Labor 4100500000			
Legal Title of Grant:		Apprenticeship State Expansion			
Federal Catalog #:		17.285			
Grant/Donor Name and Address:		US Dept of Labor/Employment and Training Administration, Apprenticeship C-5311, 200 Constitution Ave NW, Washington, DC 20210			
Grant Period:	From:	7/1/2019	To:	6/30/2022	
Grant/Donation		\$679,990			
	SFY 1	SFY 2	SFY 3	Total	Comments
Grant Amount:	\$226,663	\$226,663	\$226,664	\$679,990	
Position Information:		# Positions	Explanation/Comments		
		0			
Additional Comments:					
Department of Finance & Management				AS	(Initial)
Secretary of Administration				BA	(Initial)
Sent To Joint Fiscal Office				12/5/19	Date

11/27/19



JOINT LEGISLATIVE OFFICE

DEC 02 2018

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State of Vermont
Department of Labor
Workforce Development Division
5 Green Mountain Drive
P.O. Box 488
Montpelier, VT 05601
labor.vermont.gov

[telephone] 802-828-5277

To: Joint Fiscal Office, Secretary Young

From: Michael Harrington, Acting Commissioner; Sarah Buxton; Workforce Development Director

Date: November 26, 2019

Re: Approval for Acceptance of Apprenticeship Grant

In June of 2019, states were invited to apply for new federal apprenticeship funds in specified amounts. Vermont applied for the full allowable amount, \$679,990.77. The money may be spent over three years, and must cover the salary of at least 2 FTE. We are not asking for new positions with the request.

This grant will be used to create a more robust infrastructure to expand the number of registered apprenticeship programs and participants in Vermont. It includes funding for an information management system and funding to support the related instruction or on-the-job training costs for individuals who have a disability, are in recovery, are an ex-offender, mature worker, at-risk youth, veteran, or New American. (T)

Per condition number five (5) of the grant award (p. 3), the Department has subsequently submitted an updated cost allocation plan (CAP) approved by the US Dept of Labor.

On behalf of the Vermont Department of Labor, we respectfully request that you accept this grant.

Thank you.



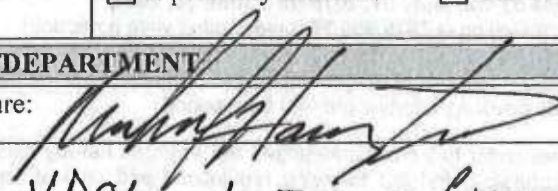
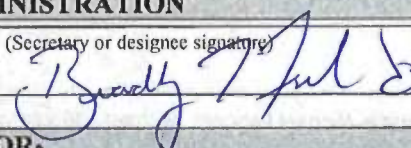
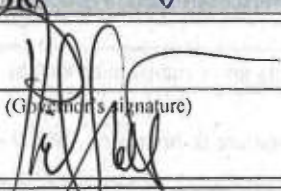
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STATE OF VERMONT REQUEST FOR GRANT (*) ACCEPTANCE (Form AA-1)

BASIC GRANT INFORMATION				
1. Agency:	Department of Labor			
2. Department:				
3. Program:	Vermont Apprenticeship Program			
4. Legal Title of Grant:	Apprenticeship State Expansion			
5. Federal Catalog #:	17.285			
6. Grant/Donor Name and Address:	U.S. Department of Labor/Employment and Training Administration			
7. Grant Period:	From:	7/1/2019	To:	6/30/2022
8. Purpose of Grant:	Expanding the availability and quality of registered apprenticeship programs in Vermont.			
9. Impact on existing program if grant is not Accepted:	Data System remains outdated; program resources are under pressure			
10. BUDGET INFORMATION				
	SFY 1	SFY 2	SFY 3	Comments
	FY 20	FY 21	FY 22	
Expenditures:				
Personal Services	\$121,600	\$121,600	\$121,600	
Operating Expenses	\$105,063	\$105,063	\$105,064	
Grants	\$	\$	\$	
Total	\$226,663	\$226,663	\$226,664	
Revenues:				
State Funds:	\$	\$	\$	
Cash	\$	\$	\$	
In-Kind	\$	\$	\$	
Federal Funds:	\$	\$	\$	
(Direct Costs)	\$208,663	\$208,663	\$208,664	
(Statewide Indirect)	\$	\$	\$	
(Departmental Indirect)	\$18,000	\$18,000	\$18,000	
Other Funds:	\$	\$	\$	
Grant (source)	\$	\$	\$	
Total	\$226,663	\$226,663	\$226,664	
Appropriation No:	4100500000	Amount:	\$679,990	
			\$	
			\$	
			\$	
			\$	
			\$	
			\$	
		Total	\$679,990	

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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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes", appointing authority must initial here to indicate intent to follow current competitive bidding process/policy. Appointing Authority Name: _____ Agreed by: _____ (initial)		
12. Limited Service Position Information:	# Positions	Title
Total Positions		
12a. Equipment and space for these positions: <input type="checkbox"/> Is presently available. <input type="checkbox"/> 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:  Title: VDOL INTERIM COMMISSIONER	Date: 11/26/19
	Signature: _____ Title: _____	Date: _____
14. SECRETARY OF ADMINISTRATION		
<input checked="" type="checkbox"/> Approved:	(Secretary or designee signature) 	Date: 12/2/19
15. ACTION BY GOVERNOR		
<input checked="" type="checkbox"/> Check One Box: Accepted	(Governor's signature) 	Date: 12/3/19
<input type="checkbox"/> Rejected		
16. DOCUMENTATION REQUIRED		
Required GRANT Documentation		
<input checked="" type="checkbox"/> Request Memo <input type="checkbox"/> Dept. project approval (if applicable) <input checked="" type="checkbox"/> Notice of Award <input checked="" type="checkbox"/> Grant Agreement <input checked="" 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)	
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).		

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

NOTICE OF
AWARD (NOA)

Under the authority of the *National Apprenticeship Act 29 U.S.C. 50; Consolidated Appropriations Act of 2018, P.L. 115-141*, this grant or agreement is entered into between the above named *Grantor Agency* and the following named *Awardee*, for a project entitled - *Apprenticeship State Expansion*.

Name & Address of Awardee:
VERMONT DEPARTMENT OF LABOR
5 GREEN MT DRIVE
MONTPELIER, VERMONT 05602

Federal Award Id. No. (FAIN): AP-33529-19-60-A-50
CFDA #: 17.285- Apprenticeship USA Grants
Amount: \$679,990.77
EIN: 030350861
DUNS #: 809376759

Accounting Code: 1630-2019-0501741819BD201901740024185AP001A0000AATELSAATELS-A90600-410023-ETA-
DEFAULT TASK-

Payment Management System DOC#: AP33529FT1

The Period of Performance shall be from **July 01, 2019 thru June 30, 2022**.
Total Government's Financial Obligation is **\$679,990.77** (unless otherwise amended).

Payments will be made under the Payments Management System, and can be automatically drawn down by the awardee on an as needed basis covering a forty-eight (48) hour period.

In performing its responsibilities under this grant agreement, the awardee hereby certifies and assures that it will fully comply with all applicable Statute(s), and the following regulations and cost principles, including any subsequent amendments:

Uniform Administrative Requirements, Cost Principles, and Audit Requirements:

2 CFR Part 200; Uniform Administrative Requirements, Cost Principles, and Audit Requirements; Final Rule
2 CFR Part 2900; DOL Exceptions to 2 CFR Part 200;

Other Requirements (Included within this NOA):

Condition(s) of Award (if applicable)
Federal Award Terms, including attachments

Contact Information

The Federal Project Officer (FPO) assigned to this grant is Michael Labonte. Michael Labonte will serve as your first line point of contact and can be contacted via e-mail - labonte.michael.d@dol.gov. If your FPO is not available, please call your Regional Office at 617-788-0170 for assistance.

The awardee's signature below certifies full compliance with all terms and conditions as well as all applicable Statutes(s), grant regulations, guidance, and certifications.

Signature of Approving Official - **AWARDEE**

Signature of Approving Official - **DOL / ETA**

90-day temporary ICR

See SF-424 for Signature

No Additional Signature Required



MELISSA ABDULLAH, June 24, 2019
GRANT Officer

TERMS AND CONDITIONS LIBRARY

TABLE OF CONTENTS

1.	Order of Precedence.....	2
2.	Notice of Award	2
3.	Training and Employment Guidance Letter (TEGL)	3
4.	Federal Project Officer	3
5.	Indirect Cost Rate and Cost Allocation Plan	3
6.	Approved Statement of Work	5
7.	Approved Budget	5
8.	Return of Funds.....	5
9.	Evaluation, Data, and Implementation	5
10.	Resources and Information	5
11.	Cost Limitation Restrictions	6
	a. Budget Flexibility	6
	b. Consultants	6
	c. Travel	6
	d. Travel – Foreign	6
	e. Travel – Mileage Reimbursement Rates	7
12.	Administrative Requirements	7
	a. Audits	7
	b. Closeout/Final Year Requirements	7
	c. Creative Commons Attributions License	7
	d. Equipment.....	8
	e. Federal Funding Accountability and Transparency Act (FFATA).....	8
	f. Intellectual Property Rights	10
	g. Intellectual Property Rights and the Bayh-Dole Act	11
	h. Personally Identifiable Information	11
	i. Pre-Award	11
	j. Procurement	11
	k. Program Income	12
	l. Publicity	12
	m. Recipient Integrity and Performance Matters.....	12
	n. Reports.....	14
	o. Requirements for Conference and Conference Space	14
	p. Subawards.....	15
	q. Supportive Services & Participant Support Costs	15
	r. System for Award Management.....	15
	s. Vendor/Contractor	16
13.	Program Requirements.....	16
14.	2018 Federal Appropriations Requirements	16
	a. Buy American Notice	16
	b. Fair Labor Standards Act Amendment for Major Disasters	17
	c. Health Benefits Coverage for Contraceptives.....	18
	d. Privacy Act	18

e. Prohibition on Contracting with Corporations with Felony Criminal Convictions.....	18
f. Prohibition on Contracting with Corporations with Unpaid Tax Liabilities	18
g. Prohibition on Procuring Goods Obtained Through Child Labor.....	18
h. Prohibition on Providing Federal Funds to ACORN	19
i. Reporting of Waste, Fraud and Abuse.....	19
j. Requirement for Blocking Pornography	19
k. Requirement to Provide Certain Information in Public Communications.....	19
l. Restriction on Health Benefits Coverage for Abortions	19
m. Restriction on Lobbying/Advocacy	20
n. Restriction on the Promotion of Drug Legalization	20
o. Restriction on Purchase of Sterile Needles or Syringes.....	20
p. Salary and Bonus Limitations.....	20
15. Public Policy	20
a. Architectural Barriers.....	20
b. Drug-Free Workplace.....	21
c. Executive Orders.....	21
d. Flood Insurance.....	21
e. Hotel-Motel Fire Safety	22
f. Prohibition on Trafficking in Persons.....	22
g. Veterans' Priority Provisions.....	23
16. Attachments	24
<i>Attachment A: SF-424</i>	
<i>Attachment B: SF-424A</i>	
<i>Attachment C: Budget Narrative</i>	
<i>Attachment D: Statement of Work</i>	

1. Order of Precedence

In the event of any inconsistency between the terms and conditions of this Notice of Award and other requirements, the following order of precedence shall apply:

- I. the National Apprenticeship Act, 29 U.S.C. 50;
- II. Other applicable Federal statutes;
- III. Public Law (P.L.) 115-141;
- IV. Implementing Regulations;
- V. Executive Orders;
- VI. OMB Circulars, including the Uniform Guidance at 2 CFR 200 and 2900;
- VII. DOL-ETA Directives;
- VIII. Terms and conditions of this award.

2. Notice of Award

Funds shall be obligated and allocated via a Notice of Award (NOA) grant modification. These obligations and costs may not exceed the amount awarded by the NOA modification unless otherwise modified by the ETA.

3. Training and Employment Guidance Letter (TEGL)

The TEGL and any amendments (https://www.doleta.gov/grants/pdf/TEGL_17-18.pdf and https://www.doleta.gov/grants/pdf/TEGL-17-18-Change_1.pdf), are hereby incorporated into this Notice of Award (NOA). Award recipients are bound by the authorizations, restrictions, and requirements contained in the TEGL. Therefore, the expenditure of grant funds by the award recipient certifies that (your organization has read and will comply with all the parts that are contained in the NOA.

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 FPO 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.

5. Indirect Cost Rate and Cost Allocation Plan

A. A current Federally approved Negotiated Indirect Cost Rate Agreement (NICRA) or current Federally approved Cost Allocation Plan (CAP) has been provided – copy attached.

For a NICRA only:

- (1) Indirect Rate approved:
- (2) Type of Indirect Cost Rate:
- (3) Allocation Distribution Base:
- (4) Current beginning and ending period applicable to rate:

Estimated Indirect Costs are shown on the SF-424A budget form. If a new NICRA is issued during the grant's period of performance, it must be provided to DOL within 30 days of it being issued. Funds may be re-budgeted as necessary between direct and indirect costs as long as it is consistent with 10% Budget Flexibility term within this agreement, grant requirements and DOL regulations on prior approval. However, the total amount of the grant award will not be increased.

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

B. (1) Latest NICRA or CAP approved by the Federal Cognizant Agency (FCA) is not current, or

(2) An indirect cost rate proposal or CAP has not been submitted for approval.

URGENT NOTICE: Estimated indirect costs have been specified on the SF-424A, Section B, Object Class Category "j", however only \$5,400 will be released to support the indirect costs in the absence of a NICRA or CAP approved by the cognizant agency. 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 and document stating that the restriction is lifted by the Grant Officer. Upon receipt of the NICRA or CAP, the Grant Officer will issue a grant modification to the award to remove the restriction on those funds.

As the award recipient, your organization must submit an indirect cost rate proposal or CAP. These documents should be submitted to the DOL's Division of Cost Determination (DCD) or to the recipient's FCA. In addition, the recipient must notify the Federal Project Officer (FPO) that the documents have been submitted to the appropriate FCA. **If this proposal is not submitted within 90 days of the effective date of the award, no funds will be approved for the reimbursement of indirect costs.** Failure to submit an indirect cost proposal by the above date means the award recipient will not receive further reimbursement for indirect costs until a signed copy of the federally approved NICRA or CAP is provided and the restriction is lifted by the Grant Officer. All indirect costs paid for using grant funds must be returned through the Payment Management System. No indirect costs will be reimbursed without a NICRA or an approved CAP.

The total amount of the DOL's financial obligation under this grant award **will not** be increased in order to reimburse the recipient for higher negotiated indirect costs.

- ___ C. The award recipient elected to exclude indirect costs from the proposed budget. Please be aware that incurred indirect costs (such as top management salaries, financial oversight, human resources, payroll, personnel, auditing costs, accounting and legal, etc. used for the general oversight and administration of the organization) must not be classified as direct costs; these types of costs are indirect costs. Only direct costs, as defined by the applicable cost principles, will be charged. According to 2 CFR 200.412, if indirect costs are misclassified as direct costs, such costs may become disallowed through an audit.
- ___ D. The award recipient has never received a negotiated indirect cost rate and, pursuant to the exceptions noted at 2 CFR 200.414(f) in the Cost Principles of the Uniform Guidance has elected to charge a de minimis rate of 10% of modified total direct costs (see 2 CFR 200.68 for definition of MTDC) which may be used indefinitely. Governmental departments or agencies that receive more than \$35 million in direct Federal Funding must submit an indirect cost rate proposal and cannot request a de minimis rate. This methodology must be used consistently for all Federal awards until such time as you choose to negotiate for an indirect cost rate, which you may apply to do at any time. (See 2 CFR 200.414(f) for more information on use of the de minimis rate.)

If the DOL is your FCA, as a recipient, your organization must work with DOL's DCD, which has delegated authority to negotiate and issue a NICRA or CAP on behalf of the Federal Government. More information about the DOL's DCD is available at <http://www.dol.gov/oasam/boc/dcd/>. This website has guidelines to develop indirect cost rates, links to the applicable cost principles, and contact information. The DCD 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 at <http://www.dol.gov/oasam/faqs/FAQ-dcd.htm>.

Starting the quarter ending September 30, 2016, all grant recipients with an approved NICRA or de minimis rate must report indirect costs on their **FINAL** ETA-9130 Form. Please see TEGL 2-16 for additional guidance at https://wdr.doleta.gov/directives/attach/TEGL/TEGL_2-16_acc.pdf

6. Approved Statement of Work

This project's narrative is considered as the Approved Statement of Work. It has been included as Attachment D. If there is any inconsistency between items specified in the project narrative and the program statute, appropriation, regulations, Executive Orders, Uniform Guidance, OMB Circulars, and DOL-ETA directives, the order of precedence will prevail.

7. Approved Budget

The award recipient's budget documents are attached in this Notice of Award. The documents are: 1) the SF-424, included as Attachment A; 2) the SF-424 A, included as Attachment B; 3) the Budget Narrative, and 4) the Match Narrative, included as Attachment C. As the award recipient, your organization must confirm that all costs are allowable before creating any expenses. 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 200 or your grant award as requiring prior approval. The Grant Officer is the only official with the authority to provide such approval.

8. Return of Funds

Effective October 1st, 2017, the U.S. Department of Labor, Employment & Training Administration will no longer be accepting paper checks for any type of returned funds. All return of funds are to be submitted electronically through the Payment Management System (PMS) operated by the U.S. Department of Health and Human Resources via the same method as a drawdown.

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

9. Evaluation, Data, and Implementation

As the award recipient, your organization must cooperate during the implementation of a third-party evaluation. This means providing DOL or its authorized contractor with the appropriate data and access to program operating personnel and participants in a timely manner.

10. Resources and Information

Additional resources and information to assist you are located on the ETA website at <https://www.doleta.gov/grants/resources.cfm> and on the Grants Application and Management collection page located on WorkforceGPS.org at <https://grantsapplicationandmanagement.workforcegps.org/>. These sites contains information

about the Uniform Guidance, grant terms and conditions, financial reporting, indirect costs, recipient training resources, and other relevant information.

11. Cost Limitation Restrictions

a. Budget Flexibility

Federal 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 Statement of Work and agreed upon outcomes or deliverables require a request for modification and prior approval from the Grant Officer.

As directed in 2 CFR 200.308(e), for programs where the Federal share is over the simplified acquisition threshold (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 percent 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 SF424(a) do not require a grant modification unless the change results in a cumulative transfer among direct cost categories exceeding 10% of total budget as noted above. It is recommended that your assigned FPO review any within-line changes to your budget prior to implementation to ensure they do not require a modification. For programs where the Federal share is below the simplified acquisition threshold, recipients are not required to obtain the Grant Officer's approval when transferring funds among direct cost categories. This includes transferring direct costs to the indirect cost category contained on the SF424 (a).

b. Consultants

For the purposes of this award, the ETA Grant Officer has determined that fees paid to a consultant who provides services under a program shall be limited to \$710 per day (representing an eight hour work day). Any fees paid in excess of this amount cannot be paid without prior approval from the Grant Officer.

c. Travel

This award waives the prior approval requirement for domestic travel as contained in 2 CFR 200.474. For domestic travel to be an allowable cost, it must be necessary, reasonable, allocable and conform to the non-Federal entities 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 US Flag air carrier if service provided by such carrier is available.

d. Travel – Foreign

Foreign travel is not allowable except with prior written approval. Prior written approval must be obtained 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 US Flag air carrier

if service provided by such carrier is available.

e. Travel – Mileage Reimbursement Rates

Pursuant to 2 CFR 200.474(a), all award recipients must have policies and procedures in place related to travel costs; however, for reimbursement on a mileage basis, this Federal award cannot be charged more than the maximum allowable mileage reimbursement rates for Federal employees. The 2018 mileage reimbursement rates are:

Modes of Transportation	Effective/Applicability Date	Rate per mile
Privately owned automobile	January 1, 2019	\$0.58
Privately owned motorcycle	January 1, 2019	\$0.55

Mileage rates must be checked annually at www.gsa.gov/mileage to ensure compliance.

12. Administrative Requirements

a. Audits

Organization-wide or program-specific audits shall be performed in accordance with Subpart F, the Audit Requirements of the Uniform Guidance which apply to audits for fiscal years beginning on or after December 26, 2014. DOL awards recipients including for-profit and foreign entities 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 exception at 2 CFR 2900.2 expands the definition of 'non-Federal entity' to include for-profit entities and foreign entities. For-profit and foreign entities that are recipients or subrecipients of a DOL award must adhere to the Uniform Guidance at 2 CFR 200.

b. Closeout/Final Year Requirements

At the end of the grant period, the award recipient will be required to close the grant with the ETA. As the award recipient, your organization will be notified approximately 15 days prior to the end of the period of performance that the closeout process will begin once the grant ends. The information concerning the recipient's responsibilities at closeout may be found at 2 CFR 200.343. During the closeout process, the grantee 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 documentation that is required is a Negotiated Indirect Cost Rate Agreement or Cost Allocation Plan issued by the grantee's Federal cognizant agency. Documentation for those approved to utilize a de minimis rate for indirect costs is demonstrated through the grant agreement. 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 grant period (2 CFR 2900.15).

c. Creative Commons Attributions License

As required at 2 CFR 2900.13, any intellectual property developed under a competitive award process must be licensed under a Creative Commons Attribution 4.0 (CC BY) 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. For general information on CC BY, please visit <http://creativecommons.org/licenses/by/4.0>. The Instructions for marking your work with CC BY can be found at [http://wiki.creativecommons.org/Marking your work with a CC license](http://wiki.creativecommons.org/Marking_your_work_with_a_CC_license).

d. Equipment

Equipment purchases and other capital expenditures (as define in 2 CFR 200.439, 200.89 and 200.48) are not an allowable cost under this award. DOL will not approve any such expenses using funds from this grant.

e. Federal Funding Accountability and Transparency Act (FFATA)

1. Reporting of first-tier subawards.

- I. *Applicability.* Unless your organization is exempt as provided in paragraph [4.] of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph [5.] of this award term).
- II. *Where and when to report.*
 - I. You must report each obligating action described in paragraph [1.i.] of this award term to <https://www.fsrs.gov>.
 - II. For subaward information, you 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.)
- III. *What to report.* You must report the information about each obligating action that the submission instructions posted at <https://www.fsrs.gov> specify.

2. Reporting Total Compensation of Recipient Executives.

- I. *Applicability and what to report.* You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if—
 - I. the total Federal funding authorized to date under this award is \$25,000 or more;
 - II. in the preceding fiscal year, you received—
 - (A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 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 at 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 total compensation filings at
[https://www.sec.gov/answers/execomp.htm.](https://www.sec.gov/answers/execomp.htm))

- II. *Where and when to report.* You must report executive total compensation described in paragraph [2.a.] of this award term:
 - a. As part of your registration profile at <http://www.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.
 - I. *Applicability and what to report.* Unless you are exempt as provided in paragraph [4.] of this award term, for each first-tier subrecipient under this award, you 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 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 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 U.S. Security and Exchange Commission total compensation filings at [https://www.sec.gov/answers/execomp.htm.](https://www.sec.gov/answers/execomp.htm))
 - II. *Where and when to report.* You 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 you make 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), you must report any required compensation information of the subrecipient by November 30 of that year.
4. Exemptions
If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are 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. *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;
 - IV. A domestic or foreign for-profit organization;
 - V. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
- b. *Executive* means officers, managing partners, or any other employees in management positions.
- c. *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 you received this award and that you as the recipient award to an eligible subrecipient.
 - II. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see [2 CFR 200.330]).
 - III. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.
- d. *Subrecipient* means an entity that:
- I. Receives a subaward from you (the recipient) under this award; and
 - II. Is accountable to you for the use of the Federal funds provided by the subaward.
- e. *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.

f. 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: i) the copyright in all products developed under the grant, including a subgrant or contract under the grant or subgrant; and ii) any rights of copyright to which the recipient, subrecipient or a contractor purchases ownership under an award (including but not limited to curricula, training models, technical assistance products, and any related materials). Such uses include, but are not limited to, the right to modify and distribute such products worldwide by any means, electronically or otherwise. 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 Department 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. Therefore, program income must be used in accordance with the provisions of this grant award and 2 CFR 200.307.

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

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

g. Intellectual Property Rights and the Bayh-Dole Act

All small business firms, and non-profit organizations (including Institutes of Higher Education) must adhere to the Bayh Dole Act, which requirements are provided at 37 CFR 401.3(a) and at <https://doleta.gov/grants/pdf/BayhDoleGrantTerm.pdf>. 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. These requirements are in addition to those found in the Intellectual Property Rights term provided in this document.

h. Personally Identifiable Information

Award recipients 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 Training and Employment Guidance letter (TEGL) 39-11, Guidance on the Handling and Protection of Personally Identifiable Information (PII), found at http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=7872.

i. Pre-Award

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

j. Procurement

The Uniform Guidance Procurement Standards at 2 CFR 200.317-326 require all award recipients and subrecipients to conduct procurement transactions in a manner that promote practical, open and free competition. If the award recipient specifies the entity that will provide

the goods or services in their statement of work, then the DOL ETA's description of award does not provide the justification for such sole-source procurement.

k. Program Income

The addition method as described in 2 CFR 200.307 must be used in allocating any program income generated for this grant award. Award recipients must expend all program income prior to drawing down 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 the ETA. In addition, recipients must report program income on the quarterly financial report using ETA-9130 form.

YouthBuild program, please refer to 20 CFR 688.590 for guidance on program income.

l. Publicity

No funds provided under this grant shall be used for publicity or propaganda purposes, for the preparation, distribution or use of any kit, pamphlet, booklet, publication, radio, television or film 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. Nor shall grant funds be used to pay the salary or expenses of any 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 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.

m. Recipient Integrity and Performance Matters

1. If the total value of your 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 you as 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 you 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 your 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 your 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. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM (formerly CCR) because you were required to do so under Federal procurement contracts that you were awarded.
4. **Reporting frequency.** During any period of time when you are subject to the requirement in paragraph 1. of this award term, you must report FAPIIS information through SAM no less frequently than semiannually following your initial report of any proceedings for the most recent 5-year period, either to report new information about any proceeding(s) that you have not reported previously or 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., Securities and Exchange Commission 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.

n. Reports

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

- A. **Quarterly Financial Reports.** All ETA recipients are required to report quarterly financial data on the ETA-9130 Form. 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 90 calendar days after the grant period of performance ends. A closeout report will be submitted during the closeout process. For additional guidance on ETA's financial reporting, reference Training and Employment Guidance Letter (TEGL) 02-16 and [https://www.doleta.gov/grants/pdf/ETA-9130 Financial Reporting Resources.pdf](https://www.doleta.gov/grants/pdf/ETA-9130_Financial_Reporting_Resources.pdf)

The instructions for accessing both the on-line financial reporting system and the HHS Payment Management System can be found in the transmittal memo accompanying this Notice of Award.

- B. **Quarterly Narrative Progress Reports.** 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.
 - 1. 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 grant's activities. It must summarize project activities, employment outcomes and other deliverables, and related results of the project.
 - 2. The 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.
 - 3. The recipient shall utilize standard reporting processes and electronic reporting systems to submit their quarterly progress reports as provided by ETA.

o. Requirements for Conference 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. 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.

p. Subawards

A *subaward* 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. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity 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 comply with all applicable regulations and the terms and conditions of this award (2 CFR 200.101(b)(1)).

q. Supportive Services & Participant Support Costs

When supportive services are expressly authorized by a program statute, regulation, or TEG, 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 grant.

r. System for Award Management

1. Requirement for System of Award Management (SAM)

Unless you are exempt from this requirement under 2 CFR 25.110, you as the award recipient must maintain the currency of your information in the SAM until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

2. Requirement for unique entity identifier

If you are authorized to make subawards under this award, you:

- i. Must notify potential subrecipients that no entity (*see* definition in paragraph [3] of this award term) may receive a subaward from you unless the entity has provided its unique entity identifier to you.
- ii. May not make a subaward to an entity unless the entity has provided its unique entity identifier to you.

3. Definitions

For purposes of this award term:

- i. *System of Award Management (SAM)* is the Federal repository where award recipients register to do business with the U.S. government. Additional information about registration procedures may be found at the SAM Internet site (currently at <http://www.sam.gov>).
- ii. *Unique entity identifier* means the code that is unique to a registered entity in order to complete its registration on SAM.
- iii. *Entity*, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:
 - a. A Governmental organization, which is a State, local government, or Indian Tribe;
 - b. A foreign public entity;

- c. A domestic or foreign nonprofit organization;
- d. A domestic or foreign for-profit organization; and
- e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

iv. *Subaward*:

- a. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
- b. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see 2 CFR 200.330).
- c. A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

v. *Subrecipient* means an entity that:

- a. Receives a subaward from you under this award; and
- b. Is accountable to you for the use of the Federal funds provided by the subaward.

s. Vendor/Contractor

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. (2 CFR 200.23) 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 200.330. When procuring contractors for goods and services, DOL ETA recipients and subrecipients must follow the procurement requirements 2 CFR 200.319, which calls for free and open competition.

13. Program Requirements

The TEGL contains the program requirements for this award.

14. 2018 Federal Appropriations Requirements

a. Buy American Notice

Pursuant to P.L. 115-141, Division E, Title VI, Section 606 and 607, by drawing down funds, the recipient agrees to comply with sections 8301 through 8303 of title 41, United States Code (commonly known as the "Buy American Act"). Additionally, no funds may be made available to any person or entity that has been convicted of violating the Buy American Act.

For the purposes of this award, the Buy American Act requires the recipient to use, with limited exceptions, only 1) unmanufactured items that have been mined or produced in the United States; and 2) manufactured items that have been manufactured in the United States substantially all from articles, materials, or supplies that were mined, produced, or manufactured in the United States.

These exceptions do not apply to 1) items for use outside of the United States, 2) items that are not mined, produced, or manufactured in the United States in sufficient and reasonably available commercial quantities and are not of a satisfactory quality; and 3) manufactured items procured under any contract with an award value that is less than the micro-purchase threshold

(currently \$10,000). In order to claim an exception under options 1 or 2, the recipient must get prior approval from the Grant Officer. Prior approval is not needed for purchases under the micro-purchase threshold.

b. Fair Labor Standards Act Amendment for Major Disasters

Pursuant to P.L. 115-141, Division H, Title I, Section 109, additional language will be applied to the Fair Labor Standards Act of 1938 in the "Maximum Hours Worked" section. This language specifically relates to occurrences of a major disaster (as 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).

“(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 percent 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.”

c. Health Benefits Coverage for Contraceptives

Pursuant to P.L. 115-141, Division E, Title VII, Section 726, Federal funds may not be used to enter into or renew a contract which includes a provision for drug coverage unless the contract includes a provision for contraceptive coverage. Exemptions to this requirement apply to contracts with 1) the religious plans of Personal Care's HMO and OSF HealthPlans, 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.

d. Privacy Act

Pursuant to P.L. 115-141, Division E, Title VII, Section 732, no funds can be used in contravention of the 5 USC 552a (Privacy Act) or regulations implementing of the Privacy Act.

e. Prohibition on Contracting with Corporations with Felony Criminal Convictions

Pursuant to P.L. 115-141, Division E, Title VII, Section 746, the 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.

f. Prohibition on Contracting with Corporations with Unpaid Tax Liabilities

Pursuant to P.L. 115-141, Division E, Title VII, Section 745, the 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. Prohibition on Procuring Goods Obtained Through Child Labor

Pursuant to P.L. 115-141, Division H, Title I, Section 103, no 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 18, 2015. DOL has identified these goods and services here: <http://www.dol.gov/ilab/reports/child-labor/list-of-products/index-country.htm> .

h. Prohibition on Providing Federal Funds to ACORN

Pursuant to P.L. 115-141, Division H, Title V, Section 522, these funds may not be provided to the Association of Community Organizations for Reform Now (ACORN), or any of its affiliates, subsidiaries, allied organizations or successors.

i. Reporting of Waste, Fraud and Abuse

Pursuant to P.L. 115-141, Division E, Title VII, Section 743, 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.

j. Requirement for Blocking Pornography

Pursuant to P.L. 115-141, Division H, Title V, Section 521, no Federal funds may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography.

k. Requirement to Provide Certain Information in Public Communications

Pursuant to P.L. 115-141, 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 part are separate from those in the 2 CFR 200 and, when appropriate, both must be complied with.

l. Restriction on Health Benefits Coverage for Abortions

Pursuant to P.L. 115-141, Division H, Title V, Sections 506 and 507, Federal funds may not be expended for health benefits coverage that includes coverage of abortions, except when the abortion due to a pregnancy that is the result of rape or incest, or in the case where a woman suffers from a physical disorder, physical injury, including life-endangering physical conditions caused by or arising from the pregnancy itself that would, as certified by a physician, place the women in danger of death unless and 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 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.

m. Restriction on Lobbying/Advocacy

Pursuant to P.L. 115-141, Division H, Title V, Section 503, no federal funds may be used by a grant recipient, other than for normal and recognized executive-legislative relationships, to engage in lobbying or advocacy activities related to the enactment of federal, state, or local legislation, regulation, appropriations, order, or other administrative action, except in presentation to Congress or a State or local legislature itself or for 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.

n. Restriction on the Promotion of Drug Legalization

Pursuant to P.L. 115-141, 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 recognized executive-congressional communications or where the grant agreement provides for such use because there is significant medical evidence of a therapeutic advantage to the use of such drug or other substance.

o. Restriction on Purchase of Sterile Needles or Syringes

Pursuant to P.L. 115-141, Division H, Title V, Section 520, no Federal funds shall be used to purchase sterile needles or syringes for the hypodermic injection of any illegal drug.

p. Salary and Bonus Limitations

Pursuant to P.L. 115-141, Division H, Title I, Section 105 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 website (<http://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/2016/executive-senior-level>). The salary and bonus limitation does not apply to contractors (vendors) providing goods and services as defined in 2 CFR 200.330. 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 of such funds, 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 Employment and Training Administration programs. See Training and Employment Guidance Letter No. 5-06 for further clarification, available at http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2262

15. Public Policy

a. 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 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.

b. Drug-Free Workplace

The Drug-Free Workplace Act of 1988, 41 U.S.C. 702 *et seq.*, and 2 CFR 182 require that all organizations receiving grants 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.

c. Executive Orders

12928: Pursuant to Executive Order 12928, the 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.

13043: Pursuant to Executive Order 13043, Increasing Seat Belt Use in the United States, dated April 16, 1997, 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.

13166: As clarified by Executive Order 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, 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 [05/29/2003] Volume 68, Number 103, Page 32289-32305. Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. 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 <http://www.lep.gov>.

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

d. 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.

e. 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 at <https://apps.usfa.fema.gov/hotel/> to see if a property is in compliance, or to find other information about the Act.

f. Prohibition on Trafficking in Persons

1. Trafficking in persons.

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

I. You as the recipient, your 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 award is in effect;

(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. We as the Federal awarding agency may unilaterally terminate this award, without penalty, if you or a subrecipient that is a private entity —

(A). Is determined to have violated a prohibition in paragraph a.1 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.1 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. We 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.1 of this 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.1 of this 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. You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph a.1 of this award term.

II. Our right to terminate unilaterally that is described in paragraph a.2 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 us under this award.

III. You must include the requirements of paragraph a.1 of this award term in any subaward you make to a private entity.

d. Definitions. For purposes of this award term:

I. "Employee" means either:

(A). An individual employed by you 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 award and not compensated by you 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. Veterans' Priority Provisions

The Jobs for Veterans Act (Public Law 107-288) requires 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 a grant recipient must choose between two qualified candidates for a service, one of whom is a veteran or eligible spouse, the veterans priority of service provisions

require that the grant recipient give the veteran or eligible spouse priority of service by first providing him or her that service. To obtain priority of service, a veteran or spouse must meet the program's eligibility requirements. Recipients must comply with the DOL guidance on veterans' priority. ETA's Training and Employment Guidance Letter (TEGL) No. 10-09 (issued November 10, 2009) provides guidance on implementing priority of service for veterans and eligible spouses in all qualified job training programs funded in whole or in part by DOL. TEGL No. 10-09 is available at http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2816.

16. Attachments

Attachment A: SF-424

Attachment B: SF-424A

Attachment C: Budget Narrative

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): _____ * Other (Specify): _____		
* 3. Date Received: 06/03/2019		4. Applicant Identifier: _____
5a. Federal Entity Identifier: _____		5b. Federal Award Identifier: _____
State Use Only:		
6. Date Received by State: _____		7. State Application Identifier: _____
8. APPLICANT INFORMATION:		
* a. Legal Name: Vermont Department of Labor		
* b. Employer/Taxpayer Identification Number (EIN/TIN): 03-0350861		* c. Organizational DUNS: 8093767590000
d. Address:		
* Street1: 5 Green Mt Drive		
Street2: PO Box 488		
* City: Montpelier		
County/Parish: Vermont		
* State: VT: Vermont		
Province: _____		
* Country: USA: UNITED STATES		
* Zip / Postal Code: 056020488		
e. Organizational Unit:		
Department Name: Workforce Development		Division Name: Apprenticeship
f. Name and contact information of person to be contacted on matters involving this application:		
Prefix: Ms.		* First Name: Sarah
Middle Name: R.		
* Last Name: Buxton		
Suffix: _____		
Title: Director of Workforce Development		
Organizational Affiliation: Vermont Department of Labor		
* Telephone Number: 802-828-4343		Fax Number: _____
* Email: sarah.buxton@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:**

ETA-TEGL-17-18

* Title:

Availability of FY18 Funding for State Apprenticeship Expansion

13. Competition Identification Number:

ETA-TEGL-17-18

Title:

Availability of FY18 Funding for State Apprenticeship Expansion

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

Add Attachment

Delete Attachment

View Attachment

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

Vermont's Registered Apprenticeship Expansion Project

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="679,990.77"/>
* 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="679,990.77"/>

*** 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 218, 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: 02/26/2022

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. TA-TEGL-17-18	17.285	\$	\$	\$	\$	\$
2.						
3.						
4.						
5. Totals		\$	\$	\$	\$	\$

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SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
	TA-TEGL-17-18				
a. Personnel	\$ 240,000.00	\$	\$	\$	\$ 240,000.00
b. Fringe Benefits	124,800.00				124,800.00
c. Travel	6,000.00				6,000.00
d. Equipment	0.00				0.00
e. Supplies	2,000.00				2,000.00
f. Contractual	80,000.00				80,000.00
g. Construction	0.00				0.00
h. Other	173,190.77				173,190.77
i. Total Direct Charges (sum of 6a-6h)	625,990.77				\$ 625,990.77
j. Indirect Charges	54,000.00				\$ 54,000.00
k. TOTALS (sum of 6i and 6j)	\$ 679,990.77	\$	\$	\$	\$ 679,990.77
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. TA-TEGL-17-18	\$	\$	\$	\$	
9.					
10.					
11.					
12. TOTAL (sum of lines 8-11)	\$	\$	\$	\$	
SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. Non-Federal	\$				
16. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$
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. TA-TEGL-17-18	\$	\$	\$	\$	
17.					
18.					
19.					
20. TOTAL (sum of lines 16 - 19)	\$	\$	\$	\$	
SECTION F - OTHER BUDGET INFORMATION					
21. Direct Charges:		22. Indirect Charges:	Cost Allocation Approved Rate of 22.5%		
23. Remarks:					

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Attachment C: Budget Narrative

Vermont Apprenticeship Expansion Project

Budget Narrative

I. Personnel	\$240,000.00
.75 FTE: Assistant Director, Apprentice and Training Program Unit; \$60,000 x 2 years 1 FTE: Administrative and Technical Assistant; \$40,000 x 2 years .25 FTE: Grant Oversight, Monitoring and Reporting ; \$20,000 x 2 years	
II. Fringe Benefits	\$124,800.00
52% of Personnel Costs	
III. Travel	\$6,000.00
Four staff travel to conferences and trainings (x \$1000 each) Mileage, additional trainings (\$2000)	
IV. Supplies	\$2,000.00
Miscellaneous office supplies and postage.	
V. Contractual	\$80,000.00
IT: \$80k Information Management System (see Attachment B) - \$50,000 License and Maintenance costs \$25,000 Website Development & Technical Assistance \$10k	
VI. Other	\$173,190.77
Support Service Payments - \$23,190.77 Related Instruction & On-the-Job Training Payments - \$150,000	
VII. Indirect Costs	\$54,000.00
Approved indirect rate of 22.5% of Personnel	

TOTAL	\$679,990.77
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Attachment D: Statement of Work

Vermont Apprenticeship Expansion Project

Grant Narrative

I. Introduction

Vermont's labor force has decreased by approximately 15,000 participants since the height of the Great Recession. The State's unemployment rate, currently at 2.2%, has been steadily declining since 2016. With the second oldest population in the country, the number of workers exiting our labor force continues to dwarf the number of those entering it. This demographic trend will continue for the foreseeable future, further exacerbating the impact of low unemployment on Vermont's labor market. Across all sectors, Vermont's businesses are facing a formidable challenge in meeting their workforce needs. To help businesses and the State's economy stay strong and competitive in the regional, national, and global marketplace, Vermont's political, educational, and industry leaders have prioritized efforts to recruit, retrain, and retain workers. Expanding work-based training opportunities are an important component of these efforts.

In the last two years, the State has begun redesigning how it supports existing and future workers to better meet employment demands. Expanding work-based learning and training are a key part of this work. From internships to returnships, externships to apprenticeships, Vermont's education and workforce development leaders are building on-the-job experience into all of the State's career pathways. The expansion of registered apprenticeship programs and the development of a State Apprenticeship Team is helping to fill gaps, break down silos, and strengthen bridges throughout the State's career pathway and talent pipeline development efforts.

Current Status of Registered Apprenticeship in the State

Number of Existing Registered Apprenticeship Sponsors	354
Number of Existing RAPs	26
Key Industries and Occupations with Apprenticeship Programs	Electrical, Plumbing, Public Safety, Childcare, Manufacturing, Health Care
Number of Registered Apprentices	1438
Aggregate Apprentice Demographic Information (i.e. gender, race, ethnicity underrepresented populations)	See Attachment A “Stick Report 3.31.19”
Current State Capacity /Structure for Program Development/Outreach/Etc.	VDOL has two field staff who geographically split (north and south) sponsor and participant support in the state. VDOL has one central office supervisor who oversees program delivery and stateside oversight. This is a key area for improvement.
Current Pipelines into Apprenticeship	Pre-apprenticeship programs in electrical, plumbing, child care, manufacturing, and health care. Most are offered through career and technical education centers.

II. Registered Apprenticeship Expansion Project Goals

a. Strong Organizational Leadership

The Vermont Department of Labor (VDOL) is the designated State Apprenticeship Agency for Vermont. The Apprenticeship Division sits within the Workforce Development Division and is currently staffed by three people – two outreach specialists in the field and one program supervisor at central office. Because of Vermont’s history in supporting specific apprenticeship programs (e.g. electrical, plumbing, line maintenance, child care, tramway, etc.) much of their work involves support for apprentices, employers, and training providers for these programs, recordkeeping, and participating in community-based outreach events.

This grant will support the expansion and reorganization of VDOL’s apprenticeship division so that it can adequately support program expansion, apprentice recruitment, and robust

employer engagement. VDOL will develop the capacity and expertise to oversee state apprenticeship initiatives – including the business engagement goals below. Finally, the Department will be staffed adequately to administer activities to enhance the efficiency of program review and registration, program quality, and outcome measurement, as well as manage projects, collect and evaluate data, and monitor and report on grant activities.

Deliverables: Two new staff roles; division-wide organizational review to clearly document roles and responsibilities; delivery of professional development and subject-matter specific training opportunities.

b. Effective Information Management Systems

VDOL used a previously awarded Accelerator Grant to develop a scope of work and project outline for acquiring and implementing a new information management system for Vermont's registered apprenticeship programs. The current proposal is attached (Attachment B). Funding under this grant would be used to modernize our IT system consistent with our data collection and reporting activities. Before moving forward, however, VDOL would convene the State Apprenticeship Team to help evaluate whether there are additional needs and users that we might consider before moving ahead.

Deliverables: New information management system; consideration of supporting external user access to information management system; data collection and reporting process and manual developed; and staff training on IT and new reporting requirements.

c. Robust Public Outreach and Communication Tools

Outreach and communication tools are perhaps the most “in-demand” resource that partners are asking for. The State Apprenticeship Team is using SAE funds to develop content. This grant would be used to tailor and produce materials, FAQs, multi-lingual applications, and audio or visual outreach tools. In addition to pre-produced materials, the State Apprenticeship Team will support ongoing regional convenings to inform, train, engage, and educate targeted audiences. With the help of partnerships formed under the Team, this regional outreach will ensure the delivery of uniform messages, procedures, and priorities to employers, participants, educators, and service delivery providers. Local economic development agencies and industry associations will be heavily engaged in the design and implementation of this outreach strategy.

Deliverables: Participant, employer, and educator toolkit developed; audio, visual, and physical communication resources created and published; apprenticeship website deployed; two webinars conducted; and twelve regional trainings and outreach events.

d. Increased Recruitment and Enrollment of Underrepresented Participants in Registered Apprenticeship Programs.

Because of Vermont’s serious labor for shortage, state workforce partners and the State Apprenticeship Team are working to expand registered apprenticeship opportunities to different settings and recruit non-traditional participants.

Preliminary work has been done with potential employers, training providers, and the Department of Corrections to explore offering pre-apprenticeship and registered apprenticeship opportunities to inmates and ex-offenders. Additionally, state workforce partners have developed

better relationships and a stronger presence within the state's addiction recovery system. With help from the Division of Vocational Rehabilitation, new apprenticeship opportunities could be developed with this population in mind. This year, the General Assembly tasked VDOL with leading an outreach effort to support New Americans and employers who might consider hiring them. Again, the expansion of registered apprenticeships that target New Americans and employers of New Americans would be an ideal area of focus.

Vermont still has a long way to go in enrolling women, minorities, individuals with disabilities, at-risk youth, veterans, mature workers and low-income Vermonters in registered apprenticeships. With this grant, Vermont would aim to create at least one new registered apprenticeship program that would target underrepresented populations: ex-offenders, New Americans, mature workers, youth, individuals with disabilities – including addiction, veterans, and low-income Vermonters on SNAP or TANF.

Deliverables: Seven new registered apprenticeship programs targeting underrepresented participants; multi-lingual outreach; workforce partner system alignment map created for each targeted population; and apprenticeship training and education outreach to secondary and post-secondary career and technical education providers.

III. Registered Apprenticeship Expansion Project Strategies

Current Status of Apprenticeship Strategies

Vermont is promoting registered apprenticeships as a workforce development strategy and post-secondary education career pathway to help sustain its strong, adaptable, and highly-skilled workforce. Building on partnerships formed and strengthened through WIOA

implementation, Vermont's Department of Labor (VDOL), Agency of Education (AOE), Department of Economic Development (DED), Community College of Vermont (CCV), and Vermont Technical College (VTC) have aligned to support accelerated expansion of the variety of programs and the number of apprentices across the State. By adopting an integrated approach to engaging industry to help define and meet demand for new programs in traditional and non-traditional industries.

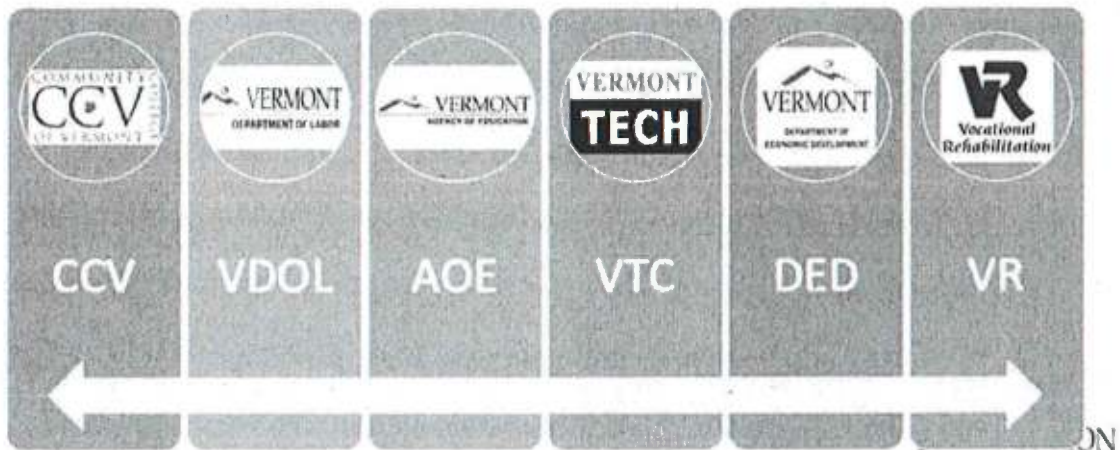
Funding from the SAE grant has supported the creation of a new Apprenticeship Team, which is developing capacity to support and extend investments in apprenticeships throughout the State. The Team is building a sustainable, multifaceted, state-base structure that can implement the vision described above and become the foundation for supporting new and innovative apprenticeship models. Specifically, the Team is meeting the following goals:

- Becoming expert in the federal Registered Apprenticeship program requirements;
- Designing tools and common outreach practices for engaging and supporting employers and apprentices;
- Establishing efficient systems to develop apprenticeship models quickly, including the standards of apprenticeship, related instruction curriculum, work plan, employer agreement, connection to a career pathway, and any other related component;
- Creating support service models for employers and apprentices that can be replicated throughout the system;
- Strengthening the connections of their agency to apprenticeship work throughout the state;
- Developing mechanisms to evaluate the effectiveness of the system and promote continuous improvement; and

- Identifying opportunities to leverage resources and support for apprenticeship opportunities.

VDOL has facilitated access to a variety of resources for the State's Apprenticeship Team. Training, technical assistance, apprenticeship program consultants, and a variety of customizable tools have been made available. Team partners are also bringing resources to bear, including subject-matter expertise, technical assistance from other federal partners, and relationships with other partners.

State Apprenticeship Team



Strategies for the VT Apprenticeship Expansion Project

Goal #1: Strong Organizational Leadership

Strategy A: VDOL will conduct a division-wide organizational review and assess staffing needs, strengths and weaknesses.

Strategy B: VDOL will reorganize the division to support the apprenticeship expansion goals of the state and this grant.

Strategy C: VDOL will provide subject-matter specific training to apprenticeship staff and all workforce development case managers.

Strategy D: One staff person will be responsible for reporting data and program monitoring and evaluation, including submitting the annual apprenticeship report.

Deliverables: Two new staff roles; division-wide organizational review to clearly document roles and responsibilities; delivery of professional development and subject-matter specific training opportunities.

Goal #2: Effective Information Management Systems

Strategy A: Partner with State Apprenticeship Team and Agency of Digital Services to identify external data-system user needs and new reporting requirements.

Strategy B: Use information collected to determine how a new system might work with Rapids and AJLA to track information effectively and report to all appropriate sources efficiently.

Strategy C: Establish data collection measures and methods that meet reporting needs.

Strategy D: Train all apprenticeship and external user staff on IT system.

Deliverables: New information management system; Consideration of supporting external user access to information management system; Data collection and reporting process and manual developed; and staff training on IT and new reporting requirements.

Goal #3 Robust Public Outreach and Communication Tools

Strategy A: Conduct material review of existing toolkits and survey target audiences for feedback on what's useful.

Strategy B: Work with the state marketing director to produce materials; distribute to partners, field offices, and virtually.

Strategy C: Create a Vermont Registered Apprenticeship website.

Strategy D: Create a webinar for educators and a webinar for employers explaining what a registered apprenticeship is and how to support the development of one.

Strategy E: In consultation with the State Apprenticeship Team and core WIOA partners, convene 12 regional trainings and outreach events for participants, employers, and service delivery providers.

Strategy F: Partner with industry associations, advocacy groups, and Advance VT to develop audio and visual outreach materials (e.g. videos, announcements, displays, etc.).

Strategy G: Ensure registered apprenticeship programs and systems are aligned with economic development and workforce development strategies by including specific alignment activities in the 2020 WIOA State Plan.

Deliverables: Participant, employer, and educator toolkit developed; audio, visual, and physical communication resources created and published; apprenticeship website deployed; two webinars conducted; and twelve regional trainings and outreach events.

Goal #4 Increased Recruitment and Enrollment of Underrepresented Participants in

Registered Apprenticeship Programs

Strategy A. Convene working groups to recommend and write organizational strategies to recruit and support each priority demographic.

Strategy B. Work with employer outreach partners to identify employers and in-demand occupations, using labor market information, that would align with target population attributes.

Strategy C: Make appropriate apprenticeship material available in at least three languages.

Strategy D: Create inventory of best practices and policies regarding successful registered apprenticeship programs by target population.

Strategy E: Create process for making on-the-job training (OJT) and related instruction (RI) funds available for eligible participants and employers (see Section IV below).

Strategy F: Set aside funding for support services available to eligible participants (see Section IV below).

Deliverables: Seven new registered apprenticeship programs in in-demand occupations targeting underrepresented participants; multi-lingual outreach; workforce partner system alignment map created for each targeted population; and apprenticeship training and education outreach to secondary and post-secondary career and technical education providers.

IV. Direct Participant Services

Because of Vermont's low unemployment rate and labor force shortage, this proposal seeks to expand focus of program expansion to target in-demand occupations where participants

in target populations might be most successful. This requires consideration of labor market information, employer need and experience, and heavy support from state agencies like VDOL, Vocational Rehabilitation, and the Department of Economic Development. While programs will be developed to support employer talent pipeline needs, participants with real or perceived barriers to employment will be specifically targeted. Funding for related instruction or on-the-job training will be limited to individuals noted in Section III, Goal 4 above.

Placement

In collaboration with key partners – including the State Apprenticeship Team – referrals for registered apprenticeship placement under this grant shall be made to VDOL for the purposes of assessing supportive service needs, determining eligibility for and funding RI or OJT funding, and collecting necessary data for reporting purposes. VDOL shall work with the State Apprenticeship Team to outline a referral process that describes roles and responsibilities, permits agencies or caseworkers with the most expertise act as lead contact for participant or employer as appropriate, sets out process for requesting and executing fund disbursement, and collects all data needed for quarterly and annual reports.

Supportive and Referral Services

To promote completion of a registered apprenticeship program, eligible individuals shall have access to available aid, including those available through other WIOA partner programs, on a first-come first served basis. VDOL's AJC staff will work with the Apprenticeship staff to conduct an individualized assessment and make recommendations for aid from WIOA, this grant, or any other funding source, or make referrals to other programs. Up to \$23,000 of this

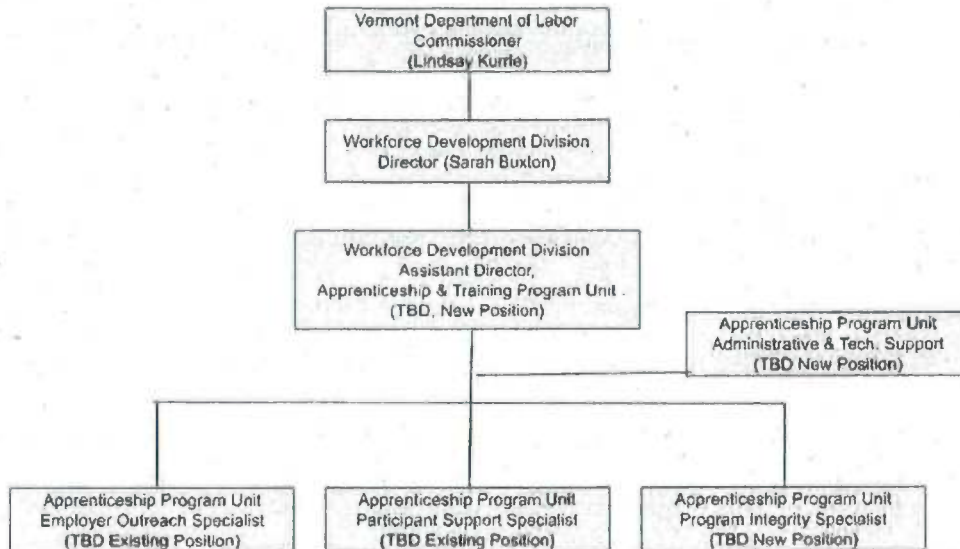
grant may be used to support participant supportive service needs, such as transportation, financial aid or other resources necessary to attend and complete training including assistance with tuition or fees for child care services provided during training.

Training Funds

Up to \$150,000 may be spent in support of apprentices meeting the on-the job (OJT) or related instruction (RI) requirements of their registered apprenticeship. Once an eligible apprentice has been enrolled in a registered apprenticeship, VDOL may pay the employer or training provider for some or all of the costs associated. VDOL or another service delivery provider shall assess whether other funding sources, such as WIOA Title I, Title IV, Vermont's Advancement Grant, or the Vermont Training Grant, are available to aid the participant or employer before training funds from this grant are expended. VDOL will work to maximize available funding to support as many participants as possible.

V. Staffing Plan and Organizational Structure

To achieve the goal of promoting and expanding registered apprenticeship programs and enrollments in Vermont, VDOL must create a staffing structure that will provide expertise, support, data, and information to all partners in a timely way. The customer-focused approach that staff must take should be backed by experience, interest, and a commitment to the mission. As outlined in Section III, Goal 1, VDOL will be restructuring its Apprenticeship Division to meet the goals of the State and this grant. The organizational structure will align with other Department priorities to support work-based training, post-secondary credential attainment, and career pathway expansion. The proposed structure is outlined below.



VI. Performance Outcomes and Deliverables

Deliverables are listed under each goal in Section III above. Additionally, VDOL intends to support seven new RAPS and 315 new apprentices by June 30, 2022 – the majority of whom will be from underrepresented groups described Section III, Goal 4.

VII. Key Partners

Person	Organization	State/Federal Entity
Hugh Bradshaw	Vocational Rehabilitation	State/Federal
Jay Ramsey	Agency of Education	State/Federal
John Young	Dept. of Economic Development	State
Maureen Hebert	Vermont Technical College	State
Tiffany Kuene	Community College of Vermont	State
Erin Oalican	Reach-Up/TANF	State/Federal
Kim Bushy	Dept. of Corrections	State/Federal
Jen Oldham	Vermont Works for Women	State
Denise Lamoureux	Refugee Resettlement Program	State
Dustin Degree	State Workforce Dev. Board	State/Federal
Adam Grinold	Regional Econ. Dev. Orgs	State
Marylin Carghil	Vt. Student Assistance Corp.	State
Carolyn Weir	McClure Foundation	State (Philanthropy)
Betsy Bishop	Vermont Chamber of Commerce	State
Tom Cheney	Advance VT	State

Project Attestation Confirmation

Document must be printed out, signed by a person authorized to encumber the applicant organization, scanned, and submitted as an Attachment to the application via grants.gov.

By receiving a grant agreement, and subsequent draw-down of funds awarded under ETA-TEOL-17-18 the State agrees to the following:

The State attests that these grant funds will be utilized for projects/activities in alignment with the State's approved Unified or Combined WIOA State Plan.	✓
The State attests that it will ensure that the grant is sufficiently staffed.	✓
The State attests that it will deliver the required Annual report.	✓
The State attests that it will serve the minimum required number of participants.	✓
The State understands that ETA may conduct an independent evaluation of the processes, outcomes and benefits of these grants and that by accepting the grant, agree to participate in such an evaluation.	✓

Attester Signature: Sarah Buxton
Printed Name: SARAH BUXTON
Title/Organization: Director Workforce Development, Vt Dept. of Labor
E-Mail Address: sarah.buxton@vermont.gov
Direct Telephone Number: 802-828-4343