

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

**NOTICE OF  
AWARD (NOA)**

Under the authority of the *American Competitiveness and Workforce Improvement Act*, this grant or agreement is entered into between the above named **Grantor Agency** and the following named **Awardee**, for a project entitled - **State Apprenticeship Expansion, Equity and Innovation (SAEEI) Grants**.

**Name & Address of Awardee:**  
Higher Education Coordinating Commission  
3225 25th St. SE  
Salem, OREGON 97302-1133

**Federal Award Id. No. (FAIN): AP-36519-21-60-A-41**  
**CFDA #: 17.285- Apprenticeship USA Grants**  
**Amount: \$3,999,999.00**  
**EIN: 371737848**  
**DUNS #: 079806658**

**Accounting Code:** 1630-2021-0501742021BD202101740024205AP001A0000AAATELSAATELS-A90600-410023-ETA-DEFAULT TASK-

**Payment Management System DOC#:** AP36519YC1

The Period of Performance shall be from **July 01, 2021 thru June 30, 2025**.  
Total Government's Financial Obligation is **\$3,999,999.00** (unless other wise 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 Joshua Hodges. Joshua Hodges will serve as your first line point of contact and can be contacted via e-mail - [hodges.joshua@dol.gov](mailto:hodges.joshua@dol.gov). If your FPO is not available, please call your Regional Office at 415-625-7900 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**

See SF-424 for Signature

No Additional Signature Required



**BRINDA RUGGLES**, June 24, 2021  
GRANT Officer

***State Apprenticeship Equity, Expansion, and Innovation***  
**Higher Education Coordinating Commission**  
**AP-36519-21-60-A-41**

**Conditions of Award**

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

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

**Condition 1 - Indirect Cost (Expired ICR)**

The current Indirect Cost Rate Agreement expired on **June 30, 2021**. The grantee must submit an its current Negotiated Indirect Cost Rate Proposal (NICRA) or approved Cost Allocation Plan CAP. These documents should be submitted to DOL's Division of Cost Determination (DCD), or to the grantee's Federal Cognizant Agency. In addition, the grantee must notify the Federal Project Officer that the documents have been sent. Contact information for the DCD is available at <http://www.dol.gov/oasam/boc/dcd/>.

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 grantee 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 charges must be returned through the Payment Management System and no indirect charges will be reimbursed. The total amount of DOL's financial obligation under this grant award **will not** be increased to reimburse the grantee for higher negotiated indirect costs.

**RESPONSE TO PROGRAM COMPLIANCE REVIEW**

After receipt of this award, DOL/ETA staff will perform a program compliance review to help ensure the programmatic aspects of the grant projects are in compliance with the Funding Opportunity Announcement. Please see the Program Compliance Notification Letter on the next page for details. After the review, if there are any required actions needed, DOL/ETA will transmit the results of the compliance review as condition(s) of award in a separate document, and provide instructions on what is necessary for resolution.

## PROGRAM COMPLIANCE NOTIFICATION LETTER

### STATE APPRENTICESHIP EXPANSION, EQUITY, AND INNOVATION (FOA-ETA-21-07)

Dear State Apprenticeship Expansion, Equity, and Innovation (SAEEI) Grantee:

Congratulations on your award! You are receiving this Program Compliance Notification Letter, which outlines the programmatic compliance requirements for your **State Apprenticeship Expansion, Equity, and Innovation Grant (FOA-ETA-21-07)** also referred to as “**SAEEI.**” This notification letter does not include individual programmatic findings from your grant. This letter identifies performance measure outcomes compliance items to be addressed (if applicable), serves as notification of programmatic compliance requirements, and directs grantees on how to ensure adherence to these requirements. As outlined in the grant agreement, the signature of the Authorized Representative on the SF-424 confirms your organization’s acceptance and acknowledgment of programmatic compliance requirements.

This Program Compliance Notification Letter provides information on the following:

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

#### Key Compliance Items of Note

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

- **SAEEI** is a new award without specific ties to previous awards, other than the overarching goal of expanding apprenticeship inherent within all apprenticeship grants. This grant may have similar activities, but these must be distinct, both financially and programmatically, from

other grants. Guidance may be similar to other grants, but should not be construed as automatically applicable to your grant. All grant program and financial personnel should read the entire grant agreement upon award.

- **Grants funds can only be used to support Registered Apprenticeship Programs (RAPs) and quality pre-apprenticeship programs that lead to RAPs.** Funds awarded were authorized in the Department’s congressionally appropriated funds for fiscal year 2020. These funds “expand opportunities relating to apprenticeship programs registered under the National Apprenticeship Act... through grants, cooperative agreements, contracts, and other arrangements, with States and other appropriate entities...” See Further Consolidated Appropriations Act, 2020 (Public Law 116-94, Division A, Title I).
- **Funding Requirements:** Grantees that receive SAEEL grant funds must ensure their grants include activities that address SAEEL program goals:
  - Apprenticeship system expansion to support the development, modernization, and diversification of RAPs;
  - Partnership and alignment to support workforce system integration;
  - Increasing the number of individuals enrolled in RAPs, including increasing access to RAPs from under-represented populations; and
  - Innovation in apprenticeship expansion efforts to include program development and recruitment strategies.

Please refer Section 1.C.2. of the FOA for a detailed list of allowable activities.

- **Diversity, Equity, and Inclusion Plan Optional Funding Requirements:** Grantees awarded funding under the Diversity, Equity, and Inclusion Plan set-aside must ensure their grants satisfy the criteria as identified in Appendix E of the FOA.
- **Use of Grant Funds for Supportive Services:** Grantees may use up to 10 percent of grant funds to provide supportive services to individuals who are participating in education and training activities provided through the grant. Under this grant program, supportive services for training participants include, but are not limited to, services such as transportation, childcare, dependent care, housing, and needs-related payments that are necessary to enable an individual to participate in education and training activities funded through this grant. Grantees may provide supportive services in various ways, including providing the supportive service itself (e.g., childcare); providing participants with a voucher for the service (e.g., public transportation cards or tokens); or providing a stipend directly to the participant.

Where stipends for supportive services are provided, the stipend amount must be for costs of a specific supportive service (e.g., childcare), rather than simply based on an unidentified need. For the purposes of this FOA, grantees may use grant funds up to the percentage specified above, to provide supportive services only to individuals who are participating in education and training activities provided through the grant, and only when: (1) they are unable to obtain such services through other programs; and (2) such services are necessary to enable individuals to participate in education and training activities under the grant.

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

In order to submit these quarterly reports, the grantee will be expected to track and report on certain participant-level data to ETA, including Social Security Numbers (SSNs), on all individuals who are provided grant-funded services. The SSN information allows ETA to efficiently match employment data from state unemployment insurance and other wage records. Thus, the collection of participant SSNs lessens the burden on grantees in tracking exit-based employment measures (WIOA Primary Indicators of Performance), while permitting consistent and reliable outcome information to be produced regarding the program.

Each grantee is accountable for reaching their proposed performance targets for the performance outcome measures specified in the FOA. Failure to meet those outcomes may result in technical assistance or other intervention by ETA, and may also have a significant impact on decisions about future grants with ETA.

- **Case Management System:** In addition to appropriate financial management tracking systems to provide accurate financial tracking and reporting, grantees are expected to have their own case management or management information system to utilize for grant participant enrollment, on-boarding and tracking during the period of performance, which allows for a .csv file export and upload into the Department's Workforce Integrated Performance Reporting System (WIPS) data files. Before the first reporting due date, grantees must have a WIPS account ready. The WIPS Technical Assistance page, [https://www.doleta.gov/performance/wips/WIPS\\_Technical\\_Assistance\\_Request.cfm](https://www.doleta.gov/performance/wips/WIPS_Technical_Assistance_Request.cfm), will allow you to submit a request to create an

account for new WIPS users and to add Apprenticeship to current WIPS accounts. The Program Office will also review this information in the first performance webinar.

- National Evaluation Participation:** As a condition of grant award, grantees are required to participate in a national evaluation, if undertaken by DOL. The evaluation may include an implementation assessment across grantees, an impact and/or outcomes analysis of all or selected sites within or across grantees, and a benefit/cost analysis or assessment of return on investment. Conducting an impact analysis could involve random assignment (which involves random assignment of eligible participants into a treatment group that would receive program services or enhanced program services, or into control group(s) that would receive no program services or program services that are not enhanced). See Section VI.B.4.a. of the FOA for more information.

## REFERENCES

Consolidated Compliance References	Resource Link	Overview/ Description
Registered Apprenticeship and Pre-Apprenticeship Definitions	<a href="https://wdr.doleta.gov/directives/attach/TEGL/TEGL_15-19.pdf">https://wdr.doleta.gov/directives/attach/TEGL/TEGL_15-19.pdf</a> See pages 4-5	Outlines the elements of a registered apprenticeship program, also specifically distinguishes pre-apprenticeship elements from that outlined in TEN 13-12.
Frequently Asked Questions for FOA ETA 21-07		The Department may post SAEI FOA FAQs online, depending on the questions received. At this time, an FAQ has not been published.
Grantee Handbook	<a href="https://www.doleta.gov/grants/award_management.cfm">https://www.doleta.gov/grants/award_management.cfm</a>	The Grantee Handbook provides guidance on the management of grants throughout the life cycle. Transmitted with the grant

		agreement to every grantee Authorized Representative and Point of Contact identified on the SF-424.
<b>2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards</b>	<a href="https://www.gpo.gov/fdsys/granule/CFR-2014-title2-vol1/CFR-2014-title2-vol1-part200/content-detail.html">https://www.gpo.gov/fdsys/granule/CFR-2014-title2-vol1/CFR-2014-title2-vol1-part200/content-detail.html</a>	Also known as the Uniform Guidance (UG), this is the consolidation of grant management requirements formerly contained in several OMB circulars. The Uniform Guidance encapsulates Federal grant management requirements governing administrative requirements, cost principles, and audit requirements. All grantee personnel should be familiar with the Uniform Guidance
<b>2 CFR 2900 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards:</b>	<a href="https://www.gpo.gov/fdsys/granule/CFR-2016-title2-vol1/CFR-2016-title2-vol1-part2900">https://www.gpo.gov/fdsys/granule/CFR-2016-title2-vol1/CFR-2016-title2-vol1-part2900</a>  Additional information on the Uniform Guidance can be found at: <a href="https://www.doleta.gov/grants/UniformGuidance.cfm">https://www.doleta.gov/grants/UniformGuidance.cfm</a> .	The Department of Labor's adoption of the Uniform Guidance includes a limited number of exceptions approved by OMB to ensure consistency with existing policy and procedures. Where present, the DOL exceptions take precedence over the general UG. Note, that if the prime grantee elects to utilize sub-awards all UG requirements applicable to the prime grant apply in addition to any others applicable to the sub-award.
<b>Performance Reporting</b>	<a href="https://apprenticeship.workforcegps.org/resources/2021/01/15/22/17/Apprenticeship-Performance-and-Reporting-Resources">https://apprenticeship.workforcegps.org/resources/2021/01/15/22/17/Apprenticeship-Performance-and-Reporting-Resources</a>	Apprenticeship Performance and Reporting Resources

	<a href="https://www.dol.gov/agencies/eta/performance/wips">https://www.dol.gov/agencies/eta/performance/wips</a>	Workforce Integrated Performance System (WIPS)
<b>Financial Reporting</b>	TEGL 2-16 <a href="https://grantsapplicationandmanagement.workforcegps.org/-/media/Communities/grantsapplicationandmanagement/Files/PPT-and-Attachments/TEGL_2-16_acc.ashx">https://grantsapplicationandmanagement.workforcegps.org/-/media/Communities/grantsapplicationandmanagement/Files/PPT-and-Attachments/TEGL_2-16_acc.ashx</a>	Revised ETA-9130 Financial Report, Instructions, and Additional Guidance. These grants will utilize the BASIC 9130 form.
	<a href="https://doleta.gov/grants/award_management.cfm">https://doleta.gov/grants/award_management.cfm</a>	OGM Financial Links. Provides access to the financial reporting system, and payment management system (PMS) for learning opportunities.

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



**TERMS AND CONDITIONS LIBRARY**  
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## 1. Order of Precedence

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

- I. National Apprenticeship Act.
- II. Other applicable Federal statutes.
- III. Further Consolidated Appropriations Act, 2020 (Public Law 116-94) dated December 20, 2019.
- IV. Implementing Regulations.
- V. Executive Orders and Presidential Memoranda.
- VI. The Office of Management and Budget (OMB) Guidance, including the Uniform Guidance at 2 CFR 200 and 2900.
- VII. The U.S. Department of Labor (DOL)/Employment and Training Administration (ETA) Directives.
- VIII. Terms and conditions of this award.

## 2. Notice of Award

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

## 3. Funding Opportunity Announcement

The Funding Opportunity Announcement (FOA) and any amendments found at <https://www.dol.gov/sites/dolgov/files/ETA/grants/FOA-ETA-21-07.pdf> is hereby incorporated into this NOA. Award recipients are bound by the authorizations, restrictions, and requirements contained in the FOA. Therefore, the expenditure of 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: Joshua Hodges  
Telephone: 415-625-7946  
E-mail: [hodges.joshua@dol.gov](mailto:hodges.joshua@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

Indirect (facilities & administrative (F&A)) costs means those costs incurred for a common or joint purpose benefitting more than one cost objective, and not readily

assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved. Direct costs, by contrast, can be identified specifically with a particular final cost objective, such as a Federal award, or other internally or externally funded activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy. Identification with the Federal award rather than the nature of the goods and services involved is the determining factor in distinguishing direct from indirect (F&A) costs of Federal awards.

If the DOL serves as the Federal Cognizant Agency (FCA) for the grant award recipient, then the grantee must work with DOL's Cost & Price Determination Division (CPDD), which has delegated authority to negotiate and issue a Negotiated Indirect Cost Rate Agreement (NICRA) or Cost Allocation Plan (CAP) on behalf of the Federal Government. More information about the DOL's CPDD is available at <https://www.dol.gov/agencies/oasam/centers-offices/office-of-the-senior-procurement-executive/cost-price-determination-division>. This website has guidelines to develop indirect cost rates, links to the applicable cost principles, and contact information. The CPDD also has Frequently Asked Questions to provide general information about the indirect cost rate approval process and due dates for provisional and final indirect cost rate proposals at <https://www.dol.gov/agencies/oasam/centers-offices/office-of-the-senior-procurement-executive/cost-price-determination-division/faq>.

If a new NICRA is issued during the grant's period of performance, it must be provided to DOL within 30 days of issuance. Funds may be re-budgeted as necessary between direct cost categories as long as it is consistent with the 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.

\_\_\_ A. A federally approved NICRA or federally approved CAP covering a portion of the grant period of performance is attached.

Regarding only the NICRA:

(1) Indirect Rate approved: \_\_\_\_\_%

(2) Type of Indirect Cost Rate: \_\_\_\_\_ (i.e. Provisional/Predetermined/Fixed)

(3) Allocation Distribution Base: \_\_\_\_\_

(4) Current beginning and ending period applicable to rate: \_\_\_\_\_

Estimated Indirect Costs are shown on the SF-424A budget form.

X B. (1) X The provided NICRA or CAP approved by the FCA does not cover a portion of the period of performance, or

(2) \_\_\_\_\_ Indirect costs are being claimed on the SF-424A, however an indirect cost rate proposal or CAP has not yet been submitted for approval to the FCA.

**URGENT NOTICE:** Estimated indirect costs have been specified on the SF-424A, Section B, Object Class Category "j", however only: *the de minimis rate of*

*10% of Modified Total Direct Costs (MTDC)* will be released to support the indirect costs in the absence of a NICRA or CAP approved by the FCA. The remaining funds which have been awarded for Indirect Costs are restricted and may not be used for any purpose until the recipient provides a signed copy of the NICRA or CAP and receive documentation 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 grant award recipient, the grantee must submit an indirect cost rate proposal or CAP. If the FCA for indirect costs is DOL, these documents should be submitted to the DOL's Cost & Price Determination Division (CPDD) (see <https://www.dol.gov/agencies/oasam/centers-offices/office-of-the-senior-procurement-executive/cost-price-determination-division> ). Otherwise, they should be submitted to the grant award recipient's FCA. Alternatively, the grantee may request the de minimis rate if eligible (see section D. below). In addition, the recipient must notify the FPO that the documents have been submitted to the appropriate FCA.

**If the grant recipient does not submit a NICRA proposal within 90 days of award, they will be limited to the de minimis rate of 10% of Modified Total Direct Costs (MTDC). See section D. below for more details and definitions.**

- \_\_\_ C. The grant 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 grant award recipient does not have a current negotiated (including provisional) rate and may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely. A governmental department or agency unit that receives more than \$35 million in direct Federal funding must submit its indirect cost rate proposal to its cognizant agency for indirect costs and cannot request a de minimis rate. This methodology must be used consistently for all Federal grant awards until such time as the grant award recipient chooses to negotiate for an indirect cost rate, which the grantee may apply to do at any time. See 2 CFR 200.414(f) for more information on use of the de minimis rate. Please be aware that incurred indirect type costs (such as top management salaries, financial oversight, human resources, payroll, personnel, auditing costs, accounting and legal, etc. used for the general oversight and administration of the organization) must not be classified as direct costs; these types of costs are recovered as part of charging the de minimis rate.

All grant recipients with an approved NICRA or de minimis rate must report indirect costs on their **FINAL** ETA-9130 Form. If a grant recipient has a NICRA and a CAP, only the indirect costs tied to the NICRA are reported on the ETA-9130 Form. The grantee can refer to Training and Employment Guidance Letter (TEGL) 20-19 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) for additional guidance.

## **6. Approved Statement of Work**

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

## **7. Approved Budget**

The grant award recipient's budget documents are attached in this NOA. The documents are: 1) the SF-424, included as Attachment A; 2) the SF-424 A, included as Attachment B; and 3) the Budget Narrative, included as Attachment C. As the grant award recipient, the grantee 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 part 200 or as a part of the grant award as requiring prior approval. The Grant Officer is the only official with the authority to provide such approval.

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

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

## **8. Return of Funds**

DOL/ETA does not accept paper checks for any type of returned funds. For active grants, all returns of funds are to be submitted electronically through the PMS operated by the U.S. Department of Health and Human Services (HHS) via the same method as a drawdown. For grants that have been cancelled or are expired (typically older than five years), incoming payments, including returns and recoveries to DOL, must be made via the Pay.gov website (<https://www.pay.gov/public/form/start/177233981>).

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

## 9. Evaluation, Data, and Implementation

As the grant award recipient, the grantee 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. Cost Limitation Restrictions

### a. Single Audit Submission Deadline Extension Related to COVID-19

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

In [OMB Memorandum M-21-20](#), Appendix 3, Item IX, OMB has offered an additional extension of Single Audit submission deadlines for fiscal years ending June 30, 2021. Award recipients and subrecipients that have not yet filed their single audits with the Federal Audit Clearinghouse as of March 19, 2021 that have fiscal year-ends through June 30, 2021 may delay the completion and submission of the Single Audit reporting package, as required under 2 CFR § 200.501 (Audit Requirements), to six (6) months beyond the normal due date. This extension does not require individual recipients and subrecipients to seek approval for the extension by the cognizant or oversight agency for audit; however, recipients and subrecipients should maintain documentation of the reason for the delayed filing.

### b. 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 SOW and agreed upon outcomes or deliverables require a request for modification and approval from the Grant Officer.

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

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

**c. Consultants**

For the purposes of this grant award, the ETA’s Grant Officer has determined that fees paid to a consultant who provides services under a program shall be limited to \$750.00 a day (representing an eight-hour workday). Such costs must be reasonable, allocable and allowable to the program. Any fees paid in excess of this amount cannot be paid without prior approval from the Grant Officer.

**d. Travel**

This award waives the prior approval requirement for domestic travel as contained in 2 CFR 200.475. For domestic travel to be an allowable cost, it must be necessary, 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 U.S. Flag air carrier if service provided by such carrier is available.

**e. Travel – Foreign**

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

**f. Travel – Mileage Reimbursement Rates**

Pursuant to 2 CFR 200.475(a), all award recipients must have policies and procedures in place related to travel costs; however, for reimbursement on a mileage basis, this Federal grant award cannot be charged more than the maximum allowable mileage reimbursement rates for Federal employees. Mileage rates must be checked annually at [www.gsa.gov/mileage](http://www.gsa.gov/mileage) to ensure compliance.

**g. WIOA Infrastructure**

WIOA, Section 121(b)(1)(B) and 20 CFR 678.400 require the following programs to be One-Stop partners:

- A. WIOA, Title I programs: Adult, Dislocated Worker, and Youth formula programs, Job Corps, YouthBuild, Native American programs, and NFJP;
- B. Wagner-Peyser Act Employment Service (ES) program authorized under the Wagner-Peyser Act (29 U.S.C. 49 et seq.), as amended by WIOA, Title III;
- C. SCSEP authorized under Title V of the Older Americans Act of 1965;
- D. Trade Adjustment Assistance (TAA) activities authorized under Chapter 2 of Title II of the Trade Act of 1974;
- E. Unemployment Compensation (UC) programs; and
- F. Jobs for Veterans State Grants (JVSG) programs authorized under Chapter 41 of Title 38, U.S.C.



With the exception of Native American programs established under WIOA, Section 166 all One-Stop partner programs including all programs that are funded under Title I of WIOA are required to contribute to the infrastructure costs and certain additional costs of the One-Stop delivery system in proportion to their use and relative benefits received, per 20 CFR 678.700 and 678.760. While Native American programs are not required to contribute to infrastructure costs per WIOA Section 121(h)(2)(D)(iv), they are strongly encouraged to contribute as stated in TEGE No. 17-16. The sharing and allocation of infrastructure costs between One-Stop partners is governed by WIOA Section 121(h), WIOA's implementing regulations, and the Federal Cost Principles contained in the Uniform Guidance at 2 CFR part 200 and DOL's exceptions at 2 CFR part 2900. The Federal Cost Principles state that a partner's contribution is an allowable, reasonable, necessary, and allocable cost to the program and is consistent with other legal requirements.

## **11. Administrative Requirements**

### **a. Audits**

Organization-wide or program-specific audits must be performed in accordance with Subpart F, the Audit Requirements of the Uniform Guidance. DOL awards recipients that expend \$750,000 or more in a year from any Federal awards must have an audit conducted for that year in accordance with the requirements contained in 2 CFR 200.501. OMB's approved exception at 2 CFR 2900.2 expands the definition of 'non-Federal entity' to include for-profit entities and foreign entities. As such, for-profit and foreign entities that are recipients or subrecipients of a DOL award must adhere to the Uniform Guidance at 2 CFR 200, including Subpart F. Those audits must be submitted directly to USDOL-OGM, Attention: Audit Resolution Team.

### **b. Revisions to the Uniform Guidance**

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

### **c. Changes in Micro-purchase and Simplified Acquisition Thresholds**

OMB's memorandum M-18-18, issued on June 20, 2018, increased the threshold for micro-purchases under Federal financial assistance awards from \$3,500 to \$10,000 and the threshold for simplified acquisitions under Federal financial assistance awards from \$100,000 to \$250,000. These two threshold increases were effective for all of ETA's grant recipients as of October 1, 2018. All ETA grant recipients should carefully review the above-referenced memorandum and make any necessary updates to their financial

and administrative policies, procedures, and systems as a result of these threshold increases.

#### d. Closeout/Final Year Requirements

At the end of the grant period, the award recipient will be required to close the grant with the ETA. The grant recipient will be notified approximately 15 days prior to the end of the period of performance that the closeout process will begin when the period of performance ends. See <https://www.dol.gov/agencies/eta/grants/management/closeout> for further information on the closeout process. The recipient's responsibilities at closeout may be found at 2 CFR 200.344. During the closeout process, the grant recipient must be able to provide documentation for all direct and indirect costs that are incurred. For instance, if an organization is claiming indirect costs, the required documentation is a NICRA or CAP issued by the grantee's FCA. For those approved to utilize a de minimis rate for indirect costs, the grant agreement is sufficient documentation. Not having documentation for direct or indirect costs will result in costs being disallowed and subject to debt collection.

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

#### e. Open Licensing

As required at 2 CFR 2900.13, any intellectual property developed under a discretionary Federal award process must be licensed under an open license, which allows subsequent users to copy, distribute, transmit and adapt the copyrighted work and attribute the work in the manner specified by the recipient.

#### f. Equipment

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

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

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

## **g. Federal Funding Accountability and Transparency Act (FFATA)**

1. Reporting of first-tier subawards.
  - I. *Applicability.* Unless the grant award recipient is exempt as provided in paragraph [4.] of this award term, the grantee must report each action that equals or exceeds \$30,000 in Federal funds for a subaward to a non-Federal entity or Federal agency (see definitions in paragraph [5.] of this award term).
  - II. *Where and when to report.*
    - I. The Federal entity or Federal agency must report each obligating action described in paragraph [1.i.] of this award term to <https://www.frs.gov>.
    - II. For subaward information, the recipient must report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)
  - III. *What to report.* The grant award recipient must report the information about each obligating action that the submission instructions posted at <https://www.frs.gov> specify.
2. Reporting total compensation of recipient executives for non-Federal entities.
  - I. *Applicability and what to report.* The grant award recipient must report total compensation for each of their five most highly compensated executives for the preceding completed fiscal year, if—
    - I. the total Federal funding authorized to date under this Federal award is equals or exceeds \$30,000 as defined in 2 CFR 170.320;
    - II. in the preceding fiscal year, the grantee received—
      - (A) 80% or more of the annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined 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 (SEC) total compensation filings at <https://www.sec.gov/answers/execomp.htm>.)
  - II. *Where and when to report.* The grant award recipient 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 the grantee is exempt as provided in paragraph [4.] of this award term, for each first-tier non-Federal entity

subrecipient under this award, the grant award recipient shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if—

- I. in the subrecipient's preceding fiscal year, the subrecipient received—
    - (A) 80% or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined 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 SEC total compensation filings at <https://www.sec.gov/answers/execomp.htm>.)
- II. *Where and when to report.* The grant award recipient must report subrecipient executive total compensation described in paragraph [3.a] of this award term:
- I. To the recipient.
  - II. By the end of the month following the month during which the grantee 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), the grantee must report any required compensation information of the subrecipient by November 30 of that year.
4. Exemptions.
- If, in the previous tax year, the grant award recipient had gross income, from all sources, under \$300,000, the grantee is exempt from the requirements to report:
- a. Subawards, and
  - b. The total compensation of the five most highly compensated executives of any subrecipient.
5. Definitions.
- For purposes of this award term:
- a. *Federal Agency* means a Federal agency as defined at 5 U.S.C. 551(1) and further clarified by 5 U.S.C. 552(f).
  - b. *Non-Federal Entity* means all of the following, as defined in 2 CFR part 25:
    - I. A Governmental organization, which is a State, local government, or Indian tribe;
    - II. A foreign public entity;
    - III. A domestic or foreign nonprofit organization; and
    - IV. A domestic or foreign for-profit organization.
  - c. *Executive* means officers, managing partners, or any other employees in management positions.
  - d. *Subaward*:

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

#### **h. Personally Identifiable Information**

The grant award recipient(s) must recognize and safeguard Personally Identifiable Information (PII) except where disclosure is allowed by prior written approval of the Grant Officer or by court order. Award recipients must meet the requirements in TEGL No. 39-11, Guidance on the Handling and Protection of PII, can be found at [http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=7872](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 grant award issued by the Department are *incurred at the recipient's own expense*.

## **j. Procurement**

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

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

## **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. The grant award recipient must expend all program income prior to drawing down any additional funds as required at 2 CFR 200.305(b)(5) and 2 CFR 200.307(e). Any program income found remaining at the end of period of performance must be returned to ETA. In addition, the grant award recipient(s) must report program income on the quarterly financial report using ETA-9130 form.

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

## **l. Recipient Integrity and Performance Matters**

1. If the total value of the currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then the grant award recipient during that period of time must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)) about civil, criminal, or administrative proceedings described in Paragraph 2 of this award term and condition. This is a statutory requirement under Section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by Section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.
2. Proceedings about which the grant recipient must report. Submit the information required about each proceeding that:
  - a. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government;
  - b. Reached its final disposition during the most recent 5-year period; and
  - c. Is one of the following:

- I. A criminal proceeding that resulted in a conviction, as defined in Paragraph 5. of this award term;
  - II. A civil proceeding that resulted in a finding of fault and liability and paying a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more;
  - III. An administrative proceeding, as defined in Paragraph 5. of this award term, that resulted in a finding of fault and liability and grantee payment of either monetary fine or penalty of \$5,000 or more or a reimbursement, restitution, or damages in excess of \$100,000; or
  - IV. Any other criminal, civil, or administrative proceeding if:
    - (A) It could have led to an outcome described in Paragraph 2.c.I, II, or III of this award term;
    - (B) It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on the grantee's part; and
    - (C) The requirement in this award term to disclose information about the proceeding does not conflict with applicable laws and regulations.
3. Reporting procedures. Enter in SAM, Entity Management area (formerly CCR), or any successor system, the FAPIIS information that SAM requires about each proceeding described in Paragraph 2. of this award term. The grant award recipient does not need to submit the information a second time under assistance awards that were received if the recipient already provided the information through SAM (formerly CCR) because the recipient was required to do so under Federal procurement contracts that the recipient was awarded.
4. Reporting frequency. During any period of time when the grant award recipient is a subject to the requirement in paragraph 1. of this award term, the grantee must report FAPIIS information through SAM no less frequently than semiannually following the initial report of any proceedings for the most recent 5-year period, either to report new information about any proceeding(s) that the grantee has 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., SEC Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level. It does not include audits, site visits, corrective plans, or inspection of deliverables.
  - b. Conviction, for purposes of this award term, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.
  - c. Total value of currently active grants, cooperative agreements, and procurement contracts includes —



- I. Only the Federal share of the funding under any award with a recipient cost share or match; and
- II. The value of all options, even if not yet exercised.

### **m. Reports**

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

- a. **Quarterly Financial Reports.** All ETA grant award 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 45 calendar days after the quarter ends and the closeout 9130 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 TEGl 20-19 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 online financial reporting system and the HHS PMS can be found in the transmittal memo accompanying this NOA.

- b. **Quarterly Narrative Progress Reports.** Grant 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 grant award recipient shall use any standard forms and instructions to report on training and employment outcomes and other data relating to the progress reports as provided by ETA.
  3. The grant award recipient shall utilize standard reporting processes and electronic reporting systems to submit their quarterly progress reports as provided by ETA.

### **n. Requirements for Conference and Conference Space**

Conferences sponsored in whole or in part by the grant award recipient are allowable if the conference is necessary and reasonable for the successful performance of the Federal Award. The grant 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.

#### **o. Subawards**

A *subaward* means an award provided by a *Pass-Through Entity* (PTE) to a subrecipient for the subrecipient to carry out part of a Federal award received by the PTE. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program. A subaward may be provided through any form of legal agreement, including an agreement that the PTE considers a contract.

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

#### **p. Supportive Services & Participant Support Costs**

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

#### **q. System for Award Management (SAM)**

SAM is the official federal system that collects, validates, stores, and disseminates business information about the federal government's trading partners in support of contract awards, grants, and electronic payment processes. A SAM registration is required for an entity to be able to apply for federal grants, to request modifications to existing grants, and to enable them to closeout expiring grants. See Training and Employment Notice 18-17 for additional guidance.

Unless the grant award recipient is exempt from this requirement under 2 CFR 25.110, the grantee must maintain current its information in the SAM. This includes information on the recipient's immediate and highest level owner and subsidiaries, as well as on all of the recipient's predecessors that have been awarded a Federal contract or Federal financial assistance within the last three years, if applicable, until the grantee submits the final financial report required under this Federal award or receive the final payment, whichever is later. This requires that the grantee review and update the information at least annually after the initial registration, and more frequently if required by changes in its information or another Federal award term.

### **1. Unique Entity Identifier Requirements**

If the grant award recipient is authorized to make subawards under this award, then the grantee:

- i. Must notify potential subrecipients that no entity (see definitions below) may receive a subaward from the grant award recipient until the entity has provided its unique entity identifier to the grantee.
- ii. May not make a subaward to an entity unless the entity has provided its Unique Entity Identifier to the grantee. Subrecipients are not required to obtain an active SAM registration, but must obtain a Unique Entity Identifier.

NOTE: At some point, the DUNS Number will be replaced by a new, non-proprietary identifier requested in and assigned by SAM.gov. This new identifier is being called the Unique Entity Identifier (UEI), or the Entity ID. Users should continue using the DUNS Number in UEI fields until further notice. To learn more about SAM's rollout of the UEI, please visit [gsa.gov/entityid](https://gsa.gov/entityid).

## 2. Definitions

For purposes of this term:

- i. SAM is the Federal repository where the grant award recipients must provide information required for the conduct of business as recipients. Additional information about registration procedures may be found at the SAM website (<http://www.sam.gov>).
- ii. *Unique entity identifier* means the identifier assigned by SAM to uniquely identify business entities.
- iii. *Entity*, as it is used in this grant award term, includes all of the following, as defined at 2 CFR Part 25, Appendix A:
  - a. A non-Federal entity as defined at 2 CFR 200.1 (A State, local government, Indian Tribe, Institute of Higher Education (IHE), or nonprofit organization that carries out a Federal award as a recipient or subrecipient);
  - b. A foreign organization;
  - c. A foreign public entity;
  - d. A domestic for-profit organization; and
  - e. A Federal agency.
- iv. *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.
- v. *Subrecipient* means:

An entity, usually but not limited to non-Federal entities, that receives a subaward from a pass-through entity to carry out part of a Federal award; but does not include an individual that is a beneficiary of such award. A subrecipient may also be a recipient of other Federal awards directly from a Federal awarding agency.

### **3. Existing SAM Registrants**

ETA advises grant recipients registered in SAM to review their registration information, particularly their financial information and points of contact. Assistance is available by contacting the Federal Service Desk at [www.fsd.gov](http://www.fsd.gov). Grant recipients should contact ETA at [ETAAccountingGrants@dol.gov](mailto:ETAAccountingGrants@dol.gov) if they find that payments have been paid to a bank account other than their registered bank account.

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

### **4. Validation**

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

#### **r. 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 (see 2 CFR 200.1). These goods or services may be for an organization's own use or for the use of the beneficiaries of the Federal program. Additional guidance on distinguishing between a subrecipient and a contractor (vendor) is provided in 2 CFR 200.331. When procuring contractors for goods and services, DOL/ETA recipients and subrecipients, must follow the procurement requirements found at 2 CFR 200.319, except states, pursuant to 2 CFR 200.317, which calls for free and open competition.

#### **s. Whistleblower Protection**

This grant award and employees working on this grant award are subject to the whistleblower rights and remedies established at 41 U.S.C. 4712. The grant award recipient shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under 41 U.S.C. 4712, as described in section 3.908 of the Federal Acquisition Regulation (48 CFR 3.908; note that for the purpose of this term and condition, use of the term "contract," "contractor," "subcontract," or "subcontractor" in section 3.908 should be read as "grant," "grantee," "subgrant," or "subgrantee"). The recipient shall insert the substance of this clause in all subgrants and contracts over the Simplified Acquisition Threshold.

#### **t. Telecommunications**

Title 2 CFR §200.216 Prohibition on certain telecommunications and video surveillance services or equipment. (Effective August 13, 2020)

(a) Recipients and subrecipients are prohibited from obligating or expending loan or grant funds to: (1) Procure or obtain; (2) Extend or renew a contract to procure or obtain; or (3) Enter into a contract (or extend or renew a contract) to procure or obtain equipment, services, or systems that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in Public Law 115-232, section 889, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).

(i) For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities). (ii) Telecommunications or video surveillance services provided by such entities or using such equipment. (iii) Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the government of a covered foreign country. (b) In implementing the prohibition under Public Law 115-232, section 889, subsection (f), paragraph (1), heads of executive agencies administering loan, grant, or subsidy programs shall prioritize available funding and technical support to assist affected businesses, institutions and organizations as is reasonably necessary for those affected entities to transition from covered communications equipment and services, to procure replacement equipment and services, and to ensure that communications service to users and customers is sustained. (c) See Public Law 115-232, section 889 for additional information. (d) See also §200.471.

#### **u. 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 grant award recipient, subrecipient or a contractor purchases ownership under an award (including but not limited to curricula, training models, technical assistance products, and any related

materials). Such uses include, but are not limited to, the right to modify and distribute such products worldwide by any means, electronically or otherwise.

Federal funds may not be used to pay any royalty or license fee for use of a copyrighted work, or the cost of acquiring by purchase a copyright in a work, where the DOL/ETA has a license or rights of free use in such work, although they may be used to pay costs for obtaining a copy which is limited to the developer/seller costs of copying and shipping.

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

The following language must be on all workforce products developed in whole or in part with grant funds:

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

#### **v. Intellectual Property Rights and the Bayh-Dole Act**

All small business firms, and non-profit organizations (as defined at the link below, and including Institutions of Higher Education) must adhere to the Bayh-Dole Act, which requirements are provided at 37 CFR 401.3(a) and at <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 award. These requirements are in addition to those found in the Intellectual Property Rights term above.

## **12. Program Requirements**

The Funding Opportunity Announcement contains the program requirements for this award.

## 13. Federal Appropriations Requirements

### a. Requirement to Provide Certain Information in Public Communications

Pursuant to P.L. 116-94, Division A, Title V, Section 505, when issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all non-Federal entities receiving Federal funds shall clearly state:

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

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

### b. Fair Labor Standards Act Amendment for Major Disasters

Pursuant to P.L. 116-94, Division A, Title I, Section 108, the Fair Labor Standards Act of 1938 (FLSA) will apply as if the following language was added to Section 7 (the Maximum Hours Worked Section). This language specifically relates to occurrences of a major disaster (as declared or designated by the state or federal government) and are applied for a period of two years afterwards. The language is as follows:

- “(s)(1) The provisions of this section [maximum hours worked] shall not apply for a period of 2 years after the occurrence of a major disaster to any employee—
- (A) employed to adjust or evaluate claims resulting from or relating to such major disaster, by an employer not engaged, directly or through an affiliate, in underwriting, selling, or marketing property, casualty, or liability insurance policies or contracts;
  - (B) who receives from such employer on average weekly compensation of not less than \$591.00 per week or any minimum weekly amount established by the Secretary, whichever is greater, for the number of weeks such employee is engaged in any of the activities described in subparagraph (C); and (C) whose duties include any of the following:
    - (i) interviewing insured individuals, individuals who suffered injuries or other damages or losses arising from or relating to a disaster, witnesses, or physicians;
    - (ii) inspecting property damage or reviewing factual information to prepare damage estimates;
    - (iii) evaluating and making recommendations regarding coverage or compensability of claims or determining liability or value aspects of claims;
    - (iv) negotiating settlements; or
    - (v) making recommendations regarding litigation.
- (2) The exemption in this subsection shall not affect the exemption provided by section 13(a)(1) [of the FLSA].
- (3) For purposes of this subsection—

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

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

(C) the term ‘affiliate’ means a company that, by reason of ownership or control of 25 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**

Federal funds may not be used to enter into or renew a contract which includes a provision for prescription drug coverage unless the contract also includes a provision for contraceptive coverage. This requirement does not apply to contracts with 1) the religious plans Personal Care’s HMO and OSF 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**

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

#### **e. Prohibition on Contracting with Corporations with Felony Criminal Convictions**

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**

The grant award recipient may not knowingly enter into a contract, memorandum of understanding, or cooperative agreement with, make a grant to, or provide a loan or loan guarantee to, any corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have



lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

**g. Prohibition on Procuring Goods Obtained Through Child Labor**

Pursuant to P.L. 116-94, Division A, 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 20, 2019. DOL has identified these goods and services here: <https://www.dol.gov/agencies/ilab/reports/child-labor/list-of-products>.

**h. Prohibition on Providing Federal Funds to Association of Community Organizations for Reform Now (ACORN)**

Pursuant to P.L. 116-94, Division A, Title V, Section 521, these funds may not be provided to the ACORN, or any of its affiliates, subsidiaries, allied organizations or successors.

**i. Reporting of Waste, Fraud and Abuse**

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

**j. Requirement for Blocking Pornography**

Pursuant to P.L. 116-94, Division A, Title V, Section 520, no Federal funds may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography.

**k. Restriction on Health Benefits Coverage for Abortions**

Pursuant to P.L. 116-94, Division A, Title V, Section 506 and 507, Federal funds may not be expended for health benefits coverage that includes coverage of abortions, except when the pregnancy is the result of rape or incest, or in the case where a woman suffers from a physical disorder, physical injury, or physical illness, including a life-endangering physical condition caused by or arising from the pregnancy itself that would, as certified by a physician, place the women in danger of death unless an abortion is performed. This restriction does not prohibit any non-Federal entity from providing health benefits coverage for abortions when all funds for that specific benefit do not come from a Federal source. Additionally, no funds made available through this grant award may be provided to a State or local government if such government subjects any institutional or individual health care entity to discrimination on the basis that the health care entity does not provide, pay for, provide coverage of, or refer for abortions.



## **I. Restriction on Lobbying/Advocacy**

Pursuant to P.L. 116-94, Division A, 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 (including, for publicity or propaganda purposes, the preparation, distribution, or use of any kit, pamphlet, booklet, publication, electronic communication, radio, television, or video presentation) designed to support or defeat 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.

### **m. 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.

### **n. Restriction on the Promotion of Drug Legalization**

Pursuant to P.L. 116-94, Division A, Title V, Section 509, no Federal funds shall be used for any activity that promotes the legalization of any drug or other substance included in Schedule I of the schedules of controlled substances established under Section 202 of the Controlled Substances Act except for normal and recognized executive-congressional communications or where there is significant medical evidence of a therapeutic advantage to the use of such drug or other substance or that federally sponsored clinical trials are being conducted to determine therapeutic advantage.

### **o. Restriction on Purchase of Sterile Needles or Syringes**

Pursuant to P.L. 116-94, Division A, Title V, Section 527, 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. 116-94, Division A, 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/2020/executive-senior-level>). The salary and bonus limitation does not apply to contractors (vendors) providing goods and services as defined in 2 CFR 200.331. Where States are recipients of such funds, States may establish a lower limit for salaries and bonuses of those receiving salaries and bonuses from subrecipients, taking into account factors including the relative cost-of-living in the State, the compensation levels for comparable State or local government employees, and the size of the organizations that administer Federal programs involved including ETA programs. See TEGL 5-06 for further clarification, available at [http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2262](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2262).

### **14. 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 the U.S. General Services Administration (GSA) (see 36 CFR 1191, Appendixes C and D) set forth requirements to make facilities accessible to, and usable by, the physically handicapped and include minimum design standards. All new facilities designed or constructed with grant support must comply with these requirements.

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

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

**13166:** As clarified by EO 13166, Improving Access to Services for Persons with Limited English Proficiency, dated August 11, 2000, and resulting agency guidance, national origin discrimination includes discrimination on the basis of limited English proficiency (LEP). To ensure compliance with Title VI, 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, pages 32289-32305. Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. The grant award recipients are encouraged to consider the need for language services for LEP persons served or encountered both in developing budgets and in conducting programs and activities. For assistance and information regarding your LEP obligations, go to <http://www.lep.gov>.

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

**14005:** Pursuant to EO 14005, Ensuring the Future Is Made in All of America by All of America's Workers, the grant award recipient agrees to comply with all applicable Made in America Laws (as defined in the EO), including the Buy American Act at 41 USC sections 8301-8305. For the purposes of this award, the grant recipient is required to maximize the use of goods, products, and materials produced in, and services offered in, the United States, in accordance with the Made in America Laws. No funds may be made available to any person or entity (including as a contractor or subrecipient of the grant recipient) that has been found to be in violation of any Made in America Laws. “Made in America Laws” means all statutes, regulations, rules, and Executive Orders relating to Federal financial assistance awards or Federal procurement, including those that refer to “Buy America” or “Buy American,” that require, or provide a preference for, the purchase or acquisition of goods, products, or materials produced in the United States, including iron, steel, and manufactured goods offered in the United States. Made in America Laws include laws requiring domestic preference for maritime transport, including the Merchant Marine Act of 1920 (Public Law 66-261), also known as the Jones Act.

#### **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. The grantee as the recipient, the grantee's employees, subrecipients under this award, and subrecipients' employees may not—

- (A). Engage in severe forms of trafficking in persons during the period of time that the grant award is in effect;
- (B). Procure a commercial sex act during the period of time that the award is in effect; or
- (C). Use forced labor in the performance of the award or subawards under the award.

II. DOL/ETA as the Federal awarding agency may unilaterally terminate this grant award, without penalty, if the grantee 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.* DOL/ETA as the Federal awarding agency may unilaterally terminate this grant 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 grant award term; or
- II. Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph a.1 of this grant award term through conduct that is either—
  - (A). Associated with performance under this award; or

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

c. *Provisions applicable to any recipient.*

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

II. DOL/ETA right to terminate unilaterally that is described in paragraph a.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 DOL/ETA under this grant award.

III. The grant award recipient must include the requirements of paragraph a.1 of this grant award term in any subaward the grantee make to a private entity.

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

I. “Employee” means either:

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

(B). Another person engaged in the performance of the project or program under this grant award and not compensated by the grantee 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 grant award recipients to provide priority service to veterans and spouses of certain veterans for the receipt of employment, training, and placement services in any job training program directly funded, in whole or in part, by the DOL. The regulations implementing this priority of service can be found at 20 CFR Part 1010. In circumstances where a grant award recipient must choose between two qualified candidates for a service, one of whom is a veteran or eligible spouse, the veterans priority of service provisions require that the grant award recipient give the veteran or eligible spouse priority of service by first providing him or her that service. To obtain priority of service, a veteran or spouse must meet the program’s eligibility requirements. Recipients must comply with the DOL guidance on veterans’ priority. ETA’s TEGL No. 10-09 (issued November 10, 2009) provides guidance on implementing priority of service for veterans and eligible spouses in all qualified job training programs funded in whole or in part by DOL. TEGL No. 10-09 is available at [http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2816](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2816).

## **15. Technical Assistance, Resources, and Information**

Additional resources, training, and information to assist the grant award recipient are located on the ETA website at <https://www.dol.gov/agencies/eta/grants/resources> and on the Grants Application and Management collection page on WorkforceGPS.org at <https://grantsapplicationandmanagement.workforcegps.org/>. **SMART** training is a technical assistance initiative sponsored by DOL-ETA to assist its grant recipients and subrecipients in improving its program/project operations through effective grants management. Please take some time to review the training modules which are focused on:

**S**trategies for sound grant management that include:

- M**onitoring,
- A**ccountability,
- R**isk mitigation and
- T**ransparency.

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

## **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): <input type="text"/> * Other (Specify): <input type="text"/>
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* 3. Date Received: <input type="text" value="04/26/2021"/>	4. Applicant Identifier: <input type="text"/>
--	--

5a. Federal Entity Identifier: <input type="text"/>	5b. Federal Award Identifier: <input type="text"/>
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**State Use Only:**

6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>
---	---

**8. APPLICANT INFORMATION:**

* a. Legal Name: <input type="text" value="Higher Education Coordinating Commission"/>	
* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text" value="37-1737848"/>	* c. Organizational DUNS: <input type="text" value="0798066580000"/>

**d. Address:**

* Street1: <input type="text" value="3225 25th St. SE"/>
Street2: <input type="text"/>
* City: <input type="text" value="Salem"/>
County/Parish: <input type="text" value="Marion"/>
* State: <input type="text" value="OR: Oregon"/>
Province: <input type="text"/>
* Country: <input type="text" value="USA: UNITED STATES"/>
* Zip / Postal Code: <input type="text" value="97302-1133"/>

**e. Organizational Unit:**

Department Name: <input type="text" value="Office of Workforce Investment"/>	Division Name: <input type="text"/>
--	-------------------------------------

**f. Name and contact information of person to be contacted on matters involving this application:**

Prefix: <input type="text" value="Mrs."/>	* First Name: <input type="text" value="Jennifer"/>
Middle Name: <input type="text"/>	
* Last Name: <input type="text" value="Denning"/>	
Suffix: <input type="text"/>	

Title: <input type="text" value="Program Analyst"/>
---

Organizational Affiliation: <input type="text"/>
--

* Telephone Number: <input type="text" value="503-779-8818"/>	Fax Number: <input type="text"/>
---	----------------------------------

* Email: <input type="text" value="jennifer.l.denning@oregon.gov"/>
---

**Application for Federal Assistance SF-424**

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

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

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

Employment and Training Administration

**11. Catalog of Federal Domestic Assistance Number:**

17.285

CFDA Title:

Apprenticeship USA Grants

**\* 12. Funding Opportunity Number:**

FOA-ETA-21-07

\* Title:

State Apprenticeship Expansion, Equity and Innovation (SAEEI) Grants

**13. Competition Identification Number:**

FOA-ETA-21-07

Title:

State Apprenticeship Expansion, Equity and Innovation (SAEEI) Grants

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

Add Attachment

Delete Attachment

View Attachment

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

State of Oregon SAEEI Grant Application.

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.

Add Attachment

Delete Attachment

View Attachment

**17. Proposed Project:**

\* a. Start Date:

\* b. End Date:

**18. Estimated Funding (\$):**

* a. Federal	<input type="text" value="3,999,999.00"/>
* b. Applicant	<input type="text" value="0.00"/>
* c. State	<input type="text" value="0.00"/>
* d. Local	<input type="text" value="0.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="0.00"/>
* g. TOTAL	<input type="text" value="3,999,999.00"/>

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

a. This application was made available to the State under the Executive Order 12372 Process for review on

b. Program is subject to E.O. 12372 but has not been selected by the State for review.

c. Program is not covered by E.O. 12372.

**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

Yes  No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

**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: 02/28/2022

**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. FOA-ETA-21-07	17.285	\$ <input type="text"/>	\$ <input type="text"/>	\$ 3,999,999.00	\$ <input type="text"/>	\$ 3,999,999.00
2.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
3.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
4.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>5. Totals</b>		\$ <input type="text"/>	\$ <input type="text"/>	\$ 3,999,999.00	\$ <input type="text"/>	\$ 3,999,999.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
	FOA-ETA-21-07				
<b>a. Personnel</b>	\$ 98,280.00	\$	\$	\$	\$ 98,280.00
<b>b. Fringe Benefits</b>	52,591.21				52,591.21
<b>c. Travel</b>	0.00				0.00
<b>d. Equipment</b>	0.00				0.00
<b>e. Supplies</b>	1,328.41				1,328.41
<b>f. Contractual</b>	3,729,470.00				3,729,470.00
<b>g. Construction</b>	0.00				0.00
<b>h. Other</b>	0.00				0.00
<b>i. Total Direct Charges (sum of 6a-6h)</b>	3,881,669.62				\$ 3,881,669.62
<b>j. Indirect Charges</b>	118,329.38				\$ 118,329.38
<b>k. TOTALS (sum of 6i and 6j)</b>	\$ 3,999,999.00	\$	\$	\$	\$ 3,999,999.00
<b>7. Program Income</b>	\$ 0.00	\$	\$	\$	\$ 0.00

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**SECTION C - NON-FEDERAL RESOURCES**

(a) Grant Program		(b) Applicant	(c) State	(d) Other Sources	(e)TOTALS
8.	FOA-ETA-21-07	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
9.					
10.					
11.					
<b>12. TOTAL (sum of lines 8-11)</b>		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

**SECTION D - FORECASTED CASH NEEDS**

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
<b>13. Federal</b>	\$ 800,000.00	\$ 200,000.00	\$ 200,000.00	\$ 200,000.00	\$ 200,000.00
<b>14. Non-Federal</b>	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
<b>15. TOTAL (sum of lines 13 and 14)</b>	\$ 800,000.00	\$ 200,000.00	\$ 200,000.00	\$ 200,000.00	\$ 200,000.00

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

(a) Grant Program		FUTURE FUNDING PERIODS (YEARS)			
		(b)First	(c) Second	(d) Third	(e) Fourth
16.	FOA-ETA-21-07	\$ 999,999.75	\$ 999,999.75	\$ 999,999.75	\$ 999,999.75
17.					
18.					
19.					
<b>20. TOTAL (sum of lines 16 - 19)</b>		\$ 999,999.75	\$ 999,999.75	\$ 999,999.75	\$ 999,999.75

**SECTION F - OTHER BUDGET INFORMATION**

<b>21. Direct Charges:</b>	3,881,669.62	<b>22. Indirect Charges:</b>	118,329.38
<b>23. Remarks:</b>			

## **Attachment C: Budget Narrative**



**Oregon Higher Education Coordinating Commission  
State Apprenticeship Expansion, Equity and Innovation  
Budget Narrative**

**SAEEEEI Total: \$3,999,999**

Personnel	\$98,280.00
Fringe Benefits	\$52,591.21
Travel	
Equipment	
Supplies	\$1,328.41
Contractual	\$3,729,470.00
Construction	
Other	
Indirect Charges	\$118,329.38

**Personnel and Benefits:**

Total Cost: \$150,871.21

Position Title	Purpose	FTE	Length of Work	Monthly Salary	Monthly Benefits	Total Cost for 18 Months
Program Analyst 3	Completes federal reporting, ensures deliverables are being met, conducts project management activities.	1	18 Months	\$5,460	\$2,921.73	\$150,871.21

*Fringe Benefits are based on the sum of the following expenses: Employment Relations Board rate of \$1.65 per FTE per month; PERS (retirement) at 22.49% of salary; FICA at 7.65% of salary; Workers Compensation at \$2.44 per FTE per month; and Flexible Benefits (medical, dental, vision).*

The Higher Education Coordination Commission (HECC) will hire a Program Analyst 3 (PA3) for 18 months that will conduct grant management activities, complete quarterly reporting and ensure grant deliverables are being met. This position will work in coordination with a permanent PA3 at the HECC who will oversee all grant management aspects. HECC employs a PA3 that is a permanent position that has provided grant management and oversight of all of the apprenticeship grants to date. Once the 18 months are over, the permanent PA3 will take over those duties.

The costs associated with the permanent PA3 will be leveraged and are included below.

Leveraged Funds

Position Title	Purpose	FTE	Length of Work	Monthly Salary	Monthly Benefits	Total Cost for 48 Months
Program Analyst 3	Provides oversight of all grant activities, conducts project management, align grant activities, apprenticeship expansion	.4	48 Months	\$6,607	\$1,306.98	\$189,589.24

*Fringe Benefits are based on the sum of the following expenses: Employment Relations Board rate of \$1.65 per FTE per month; PERS (retirement) at 22.49% of salary; FICA at 7.65% of salary; Workers Compensation at \$2.44 per FTE per month; and Flexible Benefits (medical, dental, vision).*

**Supplies**

Total Cost: \$1,328.41

Direct office supplies related to position (i.e. data connection, telephone, office supplies, software, etc.)

**Indirect**

Total Cost: \$118,329.38

HECC has a 43.74% negotiated indirect cost rate. The indirect amount is based off the total amount that HECC is holding back which is \$270,529.

$$\$270,529 \times 43.74\% = \$118,329.38$$

**Contractual**

Total Cost: \$3,729,470.00

**Contract**

***Bureau of Labor and Industries, Apprenticeship and Training Division (BOLI-ATD)***

Total Cost: 259,470

**Personnel and Benefits**

Total Cost: \$209,470

Position Title	Purpose	FTE	Length of Work	Monthly Salary	Monthly Benefits	Total Cost for 24 Months
Project Manager 2	Project monitoring and tracking	1	24 Months	\$5,726.00	3,002	\$209,470

*Fringe Benefits are based on the sum of the following expenses: Employment Relations Board rate of \$1.65 per FTE per month; PERS (retirement) at 22.49% of salary; FICA at 7.65% of salary; Workers Compensation at \$2.44 per FTE per month; and Flexible Benefits (medical, dental, vision).*

BOLI-ATD will hire a Project Manager 2. This position would be responsible for establishing

monitoring protocols for activities that align with the USDOL-Employment and Training Administration's Core Monitoring Guidelines. This position would also have primary responsibility for identifying and mitigating risks across multiple stakeholders and multiple projects and project phases.

Data Management and Integration

Total Cost: \$50,000

BOLI-ATD will work the IT vendor to continue to build up the current database to align data with the PIRL and WIPS.

## **Sub-Awards**

### ***Crater Lake JATC***

Total Cost: \$1,000,000

Crater Lake JATC is partnering with local schools to provide a year-round Electrician Pre-Apprenticeship program that prioritizes females and other underrepresented groups. This targeted system would allow for the expansion of RAP participants within the region.

### ***United We Heal***

Total Cost: \$750,000

United We Heal will work with Northwest Oregon Works and Willamette Workforce Partnership to develop an apprentice pathway for workers in the mental health and addiction counseling fields to earn their related certificate.

### ***Pacific NW Carpenters Institute***

Total Cost: \$720,000

This project represents a significant expansion into rural communities in Eastern and Southern Oregon. In concert with their pre-apprenticeship program, it represents foundational work for a long-term training to regions that historically struggle to have access to training programs.

### ***Oregon Southern Idaho Laborers Apprenticeship & Employment Training Trust***

Total Cost: \$600,000

This program will expand to target women, youth, BIPOC, veterans and individuals with a criminal record or disabilities by using pre-apprentice training to develop viable applicant pools. It will also provide programs to rural and underserved regions of the state.

### ***IT RFP***

Total Cost: \$400,000

HECC will seek partnerships for the development of a high school to employment pathway for certified IT occupations. Several components have been identified and are in place, but the systematic approach and agreements are currently lacking. The requirements of the RFP will help develop a sustainable system.

## **Attachment D: Statement of Work**

## **Oregon Higher Education Coordinating Commission SAEI Project Narrative**

**Statement of Need:** The State of Oregon experienced two economic disasters in 2020: The COVID-19 pandemic and resulting economic recession which heavily impacted the construction industry, and a devastating wildfire season burned 1.2 million acres and 5,000 residential and commercial structures, effectively wiping out entire towns. Both the pandemic and wildfires exacerbated existing racial disparities in Oregon, disproportionately impacting communities of color. In line with national trends, female-dominated industries like education and personal services were among the hardest hit sectors leading to a disproportionate economic impact on female-identified individuals. Women hold approximately 67% of jobs in the public education sector, 54% in Accommodation and Food Service. The unemployment rate for women in Oregon since the onset of the COVID-19 recession has steadily held at between 1.6-2.7% higher than that of men<sup>1</sup>. Funding from this grant will support Oregon's economic recovery on two fronts: 1) expanding registered apprenticeship programs (RAPs) into the non-traditional sectors of behavioral health and information technology in northwestern Oregon and 2) diversifying existing construction-based RAPs in Southern and Eastern Oregon through the development of new trade-specific pre-apprenticeship opportunities focused on communities of color, women, Veterans, and other underserved populations. Simultaneously, we will use this funding to build on existing modernization efforts that will assist partnering agencies in migrating to the Workforce Integrated Performance System (WIPS), while working across state agencies to unify data collection and reporting efforts. **Targeted Industry and Employer Demand:** Accommodation and Food Services professions have been the hardest hit and slowest to rebound during the COVID-19 pandemic. Meanwhile, the effects of the pandemic have exacerbated the

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<sup>1</sup> <https://www.qualityinfo.org/-/disparate-impact-covid-19-job-losses-by-sector-and-gender-in-oregon>

need for qualified mental- and behavioral- health and substance use disorder assistance. Information Technology infrastructure and support has also emerged as an area of critical need as the world has shifted to online work and education. SAEI funds will be used to develop a new Behavioral Health Registered Apprenticeship Program with training in the occupations of Behavioral Health Aide, Peer Support Specialist, Certified Alcohol and Drug Counselor 1, and Quality Mental Health Associate through a partnership with two local workforce development boards, employers, and the Oregon chapter of the AFSCME labor organization. The expansion of RAPs in the IT sector will build on work being conducted with the USDOL identified industry IT intermediary, employers, and workforce development boards.

Table 1. Behavioral Health and IT Occupation Growth Projections<sup>2</sup>

<b>Occupational Title</b>	<b>2019 Employment</b>	<b>2029 Employment</b>	<b>% chg.</b>	<b>Employment Change</b>	<b>Replacement Openings</b>	<b>Total Openings</b>
<b>Soc./ Human Svc. Asst.</b>	5,606	6,263	11.7	657	7,055	7,712
<b>Comp. User Support Spec.</b>	8,272	9,483	14.6	1,211	7,276	8,487

The Governor’s Wildfire Economic Recovery Council (WERC), co-chaired by Oregon Labor Commissioner Val Hoyle and State Treasurer Tobias Read, issued a report in 2021 prioritizing infrastructure rebuilding in Southern Oregon through regional workforce development. These

<sup>2</sup> Labor market information: State of Oregon Employment Department. [www.qualityinfo.org](http://www.qualityinfo.org).

recommendations focused on industry partnerships that provide high numbers of apprenticeship openings and grow opportunities for minorities, women and small businesses while maintaining workplaces that are free from harassment and discrimination<sup>3</sup>. SAEI funds will expand this framework in non-urban regions across the state to provide apprenticeship opportunities for diverse, underserved populations and create direct pathways into RAPs that serve communities outside of metropolitan areas. We will accomplish this through partnerships with construction programs, local workforce boards, high school CTE, and adult training programs.

Table 2. Targeted Construction Occupation Growth Projections

<b>Occupational Title</b>	<b>2019 Employment</b>	<b>2029 Employment</b>	<b>% chg.</b>	<b>Employment Change</b>	<b>Replacement Openings</b>	<b>Total Openings</b>
<b>Electricians</b>	10,075	11,141	10.6	1,066	12,293	13,359
<b>Construction Laborers</b>	18,276	9,483	14.6	1,211	7,276	8,487
<b>Carpenters</b>	22,383	24,632	10.1	1,211	7,276	8,487

**Identify Gaps in Expanding Registered Apprenticeship:** *Behavioral Health Registered Apprenticeship Program* Oregon currently has no behavioral health RAPs. Oregon ranked 51 out of 51 in the nation in a 2020 report by Mental Health America for behavioral health outcomes. The need for qualified behavioral health workers is enormous, particularly in Oregon. A recent Health Resources and Services Administration (HRSA) report estimates that, by 2025, there will

<sup>3</sup> Governor’s Wildfire Economic Recovery Council. *Recovering & Rebuilding from Oregon’s 2020 Wildfires: Key Findings and Recommendations*. January 4, 2021. <https://www.oregon.gov/gov/policy/Documents/WERC-2020/Wildfire%20Report%20FINAL.pdf>.

be shortages ranging up to 10,000 FTEs for mental health and substance abuse social workers<sup>4</sup>. In Oregon, demand for social service assistants in the areas of substance use and mental health is projected to continue growing at 11.7% through 2029. These figures were based on stable demand from previous years that could not have accounted for the dramatic increase in unmet need as a result of COVID-19, so the true need is much higher. This project will build on efforts already underway to create a new program with multiple behavioral occupational standards under an existing partnership between two local workforce development boards, employers, and the Oregon AFSCME labor organization. The lead partners on this project have already established relationships with community colleges to deliver related supplemental instruction and will further develop existing relationships with local agencies operating WIOA partner programs such as Wagner-Peyser, Title II Adult Basic Education, Vocational Rehabilitation, Temporary Aid to Needy Families (TANF), and Supplement Nutrition Assistance Program (SNAP). This initiative has a strong focus on the recruitment and training of bilingual workers and communities of color. The outcome will be a successful RAP model that is scalable to the entire state. *Information Technology Registered Apprenticeship Program* In 2021, Oregon's Apprenticeship and Training Division (ATD) engaged the USDOL approved IT industry intermediary to support the restructuring of our existing IT RAP, the NW Information Technology JATC, and to develop a regional strategy for accelerating registered apprenticeship that includes partnerships across employers, industry partners, and high school CTE programs. We are simultaneously working with CTE-based pre-apprenticeship programs looking to expand into IT and with workforce development boards in two adjacent counties which are seeking to meet high growth in the IT sector through developing a pipeline of skilled workers. SAEI funds

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<sup>4</sup> <https://bhw.hrsa.gov/sites/default/files/bureau-health-workforce/data-research/behavioral-health-2013-2025.pdf>



will be utilized to coordinate a regional, scalable cohesive strategy with industry stakeholders, regional workforce boards, and employers seeking to create an effective model for IT apprenticeship that will invest approximately \$400,000 to create employment opportunities through a pipeline from high school CTE and pre-apprenticeship programs.

*Diversification in Construction Registered Apprenticeship Programs* COVID-19 has deeply impacted the construction industry in Oregon. BOLI recorded a steady decrease in apprentice registrations beginning in April 2020. All told, the total number of registrations for the year reached just 56% of the 2,700 registrations that were projected. Economic recovery has been especially challenging in wildfire impacted regions, where the Latinx population experienced disproportionate housing and employment losses, and in other non-urban parts of the state. SAEI funds will be used to buttress efforts that increase RAP participation in Southern and Eastern Oregon through partnerships between new and existing pre-apprenticeship training programs (PATPs), local high school CTE programs, labor organizations, local employers, WIOA funded youth programs, and local workforce investment boards and RAPs. Three of Oregon's largest RAPs will create trade-specific pre-apprenticeship training programs that will provide training in non-urban regions with a focus on moving youth, women, BIPOC, and other marginalized communities into registered apprenticeship. Each of these programs provides direct or facilitated entry in the RAP offering the trade-specific training. BOLI's new bilingual (Spanish/English) Apprenticeship Representative position will provide technical assistance in wildfire-impacted areas with strategies for increasing outreach, recruitment, and participation within the Latinx community. ATD will frontload the development of the RAP and PATP with targeted technical assistance for best practices in moving PATP participants into RAPs. The majority of existing registered PATPs have been in the Portland-metro area and lack the

necessary infrastructure and funding to expand to other areas of the state. ATD will provide targeted technical assistance to newly developed, trade-specific PATPs. This builds on previous work with rural high schools and emerging PATPs to strengthen the pipeline from high schools and pre-apprenticeship to registered apprenticeship programs. ATD's Project Manager will closely monitor the movement of participants from PATPs into RAPs and will provide technical assistance to programs experiencing challenges meeting their targets.

**Expected Outcomes and Outputs:** Oregon commits to serving the minimum goal of 500 registered apprentices during the grant period. Participants will be served in regions across the state in both rural and urban areas. The employer demand for the identified occupations is projected to grow between 10.1-14.6% over the next eight years. Oregon has surveyed the proposed sub-recipients on the participant outcomes that they think they can achieve over the four-year grant period. These sub-recipients work directly with participants and have first-hand knowledge of industry needs and challenges. COVID-19 and the wildfires exacerbated the disparities for so many individuals trying to support their families. The funding from this grant would create desperately needed opportunities. **Participant Outcomes and Outputs:** Please see the Participant Outcomes and Outputs chart. **Expanding Registered Apprenticeship Programs Outputs:** Total number of all newly created RAPs: 2, Total number of expanded RAPs: 3, Total number of new employers engaged due to the grant: 168. **Project Design: RAP Development, Modernization, and Diversifications Strategies:** ATD, has well-established capacity, infrastructure, and expert support for maintaining an Oregon's registered apprenticeship system. ATD, regulates the administration of apprenticeship and works with business, labor, government and education to increase training and employment opportunities. ATD provides technical assistance to Oregon RAPs to ensure that they provide quality training and equal employment

opportunities, particularly for women and minorities. In 2020, ATD implemented a Technical Assistant Suite of quarterly training. Current trainings include: 1) Program Operations for New Programs/New Administrators which assists newly developed RAPs and RAP administrators with understanding regulatory compliance and best practices for program administration, and 2) Oregon Apprenticeship Tracking System training to assist program staff to become competent in using the State's online apprenticeship portal. ATD recently hired a bilingual Apprenticeship Representative located in Southern Oregon to lead state expansion and diversification efforts in an area of the state where program diversity has lagged despite the presence of a substantial Latino population. In 2020, ATD implemented its first Eastern Oregon presence in 20 years with a combined Employer Technical Assistance and Apprenticeship Coordinator. This position works with industry, community colleges and high schools, workforce investments boards, and other stakeholders to develop new RAPs. In July 2021, ATD will begin recruitment for its first Diversity, Equity, and Inclusion Specialist (DEIS) that will work directly with new and existing programs on outreach, recruitment, and retention in RAPs. This position will also work with employers, industry stakeholders, and will serve on steering committees for the Safe from Hate Alliance, a workforce partnership between some of Oregon's largest construction employers, unions, trade associations, and community-based organizations working to cultivate respectful workplaces, safe from hate, discrimination, harassment, retaliation and bullying. This position will further build out ATD's Technical Assistance Suite to include compliance training for 29 CFR 30 and Oregon EEO regulations and to develop regional and industry specific training in best practices for outreach, recruitment, and retention in RAPS, and maintaining respectful workplace culture. In 2020, ATD began conducting quarterly surveys of women, veterans, and BIPOC individuals that did not successfully complete apprenticeship training. The DEIS will use

the data from these surveys to inform EEO training and to make recommendations for strategies to increase retention for underrepresented apprentices. Funding under this proposal will be used to expand RAPs into the behavioral health sector through a combination of training, education, and supportive services. This project will leverage resources from WIOA programs, training trusts, and labor organizations' scholarship funds to supplement SAEI funding. Existing construction-based programs funded by this grant will engage in innovative strategies based on the expertise of community-based organizations and prior piloted projects in order to recruit and retain women, BIPOC, and other underrepresented communities with a specific focus on the non-urban areas of the state. This is the first time many of these programs are offering trade-specific pre-apprenticeship training with direct or facilitated entry into the RAPs. It also marks the first time these programs have conducted outreach, recruitment, and training outside of the state's most populous regions. SAEI will also fund a proposal through an RFP process that awards \$400,000 to a group or groups of employers, workforce development boards, education, industry and other partnering agencies that present a cohesive, multi-regional strategy resulting in the implementation of an IT RAP that will train 50 registered apprentices during this funding cycle. ATD maintains the current RAP data system, a proprietary database that houses all information relevant to apprentices, training agents, and RAP joint apprenticeship training committees. In March 2021, ATD unveiled the Oregon Apprenticeship Tracking System (OATS), an online portal that allows programs to directly enter information regarding the registration, completion, and movement of apprentices which is then uploaded in the ATD database. In 2020, ATD implemented a searchable web application which allows users to look up information about current apprentices and lets apprentices print letters of completion directly from the website. HECC and ATD have secured funding to enhance the current database to build

out the pre-apprenticeship and PATP provider domains to attain levels of data collection commiserate with that of registered apprentices and RAPs. Currently there is no method of reporting the percentage of pre-apprentice graduates who enter and complete a registered apprenticeship program. ATD will create a database enhancement that will track pre-apprenticeship program information and activities and link registered apprentices with PATP participation. HECC, BOLI and the Oregon Employment Department (OED) work in partnership to improve data sharing and data integrity. The ATD database does not currently collect the entire scope of data required for USDOL reporting that has become more closely aligned with WIOA metrics for demonstrating program success. Currently, HECC and OED collect data from sub-grantees and state employment systems and combine this information with ATD data to provide comprehensive data for reporting. The current method of data collection is inefficient and has been identified as a barrier to unifying statewide data systems and reporting information in the Workforce Integrated Performance System (WIPS). Funding under this project will allow for dedicated staff time and expertise through the creation of a Project Manager position that will oversee contracts with State of Oregon approved retainer agencies tasked with analyzing and making necessary improvements to unify data collection among partnering agencies, sub-grantees, and other state data systems. Funds will also cover consultation with the Department of Justice to ensure that all data collection and data sharing agreements involving level-three data include maximum protection for individuals whose data is being stored and shared across agencies. **Partnership and Alignment to Support Workforce System Integration:** Registered Apprenticeship is integral to Oregon's workforce and education system. The registered apprenticeship system consists of multiple stakeholders including state agencies, Oregon

community colleges, union and non-union training centers, and industry. Roles of partners supporting Oregon's statewide apprenticeship system are described below:

Apprenticeship and Training Division (ATD) of Oregon's Bureau of Labor and Industries– ATD is Oregon's State Apprenticeship Agency and works with business, labor, and education across the state to ensure compliance with program design, recruitment and retention addressing equitable access to Oregon's diverse population, and monitor prevailing wage and programmatic administration. Oregon State Apprenticeship and Training Council (OSATC) - OSATC has statutory authority to oversee the operation of apprenticeship committees, programs and policies and to approve new RAPs based on recommendations from ATD. The Higher Education Coordinating Commission (HECC) – HECC advises the Governor, Chief Education Officer, and State Legislature on higher education and related workforce policy. HECC's Office of Workforce Investments (OWI) works collaboratively with the Oregon Employment Department (OED) to convene partnerships in the workforce system. CCWD works with the Oregon Community Colleges Apprenticeship Consortium, which is responsible for monitoring community college registered apprenticeship degrees and certificates. Oregon Employment Department (OED) – OED's Workforce Operations division supports business by recruiting and referring the best qualified applicants to jobs and promotes employment by providing diverse job seekers necessary resources to secure employment. OED conducts business outreach to employers and helps connect both job seekers and businesses to apprenticeship opportunities. Oregon Department of Education (ODE) - oversees the education of over 560,000 students in Oregon's public K-12 education system. The Secondary, Postsecondary Transitions Team supports the development of youth pre-apprenticeship pathways between CTE programs of study and registered apprenticeship stakeholders.

Oregon will utilize the following strategies to further reinforce systems alignment and coordination of cross-sector resources that will lead to increased number, and quality of RAP's:

1. Integrate education, workforce, and economic development by prioritizing pathways to RAPs.
2. Implement the Oregon Apprenticeship Strategic Plan for 2020-2023. This plan was developed by a cross-agency team.
3. Invest in equity efforts to increase career pathways and opportunities for underrepresented and underserved populations by creating bridges between CTE, pre-apprenticeship, and RAP's.
4. Focus RAP expansion efforts on emerging industry sectors and in rural areas of the state.

Please see the enclosed partner Letters of Support that further detail this commitment to supporting enhanced agency, education, and workforce alignment.

**Increasing the Number of Apprentices Enrolled in RAPs:** SAEI funds will support strategies specific to each RAP identified in this grant to recruit, enroll and retain diverse apprentices. Regional and bilingual ATD staff will work with sub recipients to enhance outreach and recruitment efforts to communities of color, women, Veteran's, previously incarcerated persons, and other underserved and vulnerable populations. The DEI Specialist will build on these efforts to develop and strengthen retention strategies for existing registered apprentices and for those enrolled as a result of SAEI funded opportunities.

Sub-recipient strategies include: *Behavioral Health RAP*. Northwest Oregon Works (NOW) and the Willamette Workforce Partnerships (WWP), two regional workforce development boards have joined with United We Heal (UWH) – Oregon AFSCME Training Trust, to develop a behavioral health RAP that will serve the Portland Metro, Willamette Valley,

and North Oregon Coast region. Outreach and recruitment for these apprenticeship pathways will begin with existing entry-level workers and through partnership with WorkSource and WIOA programs. This project will focus on building relationships within communities of color to attract, retain, mentor, and support apprentices that represent the populations being served within behavioral health. They will serve 250 apprentices. Project partners will further develop existing relationships with the local agencies operating WIOA programs such as Wagner-Peyser, Title II Adult Basic Education, Vocational Rehabilitation, Temporary Aid to Needy Families (TANF), and Supplement Nutrition Assistance Program (SNAP). New apprentices will receive support in accessing materials for work and class, childcare, transportation, rent and utility assistance. By removing these barriers, and by offering mentorship to new apprentices in accessing support and navigating systems, project partners will increase the rates of completion and success, particularly for historically oppressed communities. Crater Lake Electrical (CLE) JATC and Medford Pre-Apprenticeship Construction Training (MPACT). CLE-MPACT will serve Southern Oregon and will create the first trade-specific pre-apprenticeship training program in the region which also has facilitated entry into the CLE JATC training program. CLE-MPACT will create a year-round Electrician Pre-Apprenticeship program that prioritizes youth ages 16-24, females, communities of color, those with barriers to employment, and other underrepresented groups, to expand the diversity of the electrical workforce in a region heavily impacted by wildfires. The Electrician Pre-Apprenticeship program will begin with three, three-month sessions in the first year and four, three-month sessions in the remaining three years. Two sessions in the first year will consist of high school students and will build on existing CTE programs and one session will be for adults including individuals from protected classes that previously applied to the CLE JATC but did not rank high enough to reasonably be expected to



enroll and adults referred from local WorkSource programs. The remaining three years of the project will expand to three youth sessions one adult session annually. CLE-MPACT will also work to further develop dual credit for the program. This program will serve 70 apprentices. SAEI funds will be used to hire a 1.0 FTE Pre-Apprenticeship Instructor/Coordinator (PA-IC) as a key component in this the program's success. The PA-IC will serve as the central broker for training and services provided in this project to ensure participants do not bounce from partner to partner in the education, apprenticeship, employment and social service systems. The PA-IC will track 240 pre-apprenticeship participants with the goal of moving a minimum of 72 directly into regional RAPs and will coordinate partners. Pacific Northwest Carpenters (PNCI) JATC. PNCI will expand its successful trade-specific pre-apprenticeship program, Carpenter Preparation Training (CPT), to non-urban areas of the state. CPT will be offered three times a year, once in Eastern Oregon, once in Southern Oregon, and a third in either Eastern, Southern, or the Central Valley region of Oregon depending on workforce needs. Training will include all instructional costs, materials, training space and lodging/travel/meals for individuals that may have to travel, given the wide geographical areas where these trainings are being offered. PNCI will use its expertise in recruiting and retaining females, BIPOC, and marginalized communities in registered apprenticeship to support these efforts in the non-urban part of the state. They will collaborate with local and Statewide organizations to assist with recruitment. CPT completers are awarded conditional application to any of PNCI's seven occupational training programs meaning they can apply regardless of whether the program is open to the public for applications, and will be awarded additional ranking points in the application process. CPT graduates are also eligible for direct or facilitated entry into RAPs outside of the carpentry trade depending on the RAP's selection criteria. They will serve 160 apprentices. Construction Craft Laborers

Apprenticeship/Pre-Apprenticeship Training Expansion. The Oregon/Southern Idaho Laborers Apprenticeship and Employment Trust (LIUINA) will partner with Oregon Tradeswomen (OTW) to replicate a successfully piloted model of providing pre-apprenticeship training to women, BIPOC, and other marginalized populations in non-urban areas of Oregon. The pilot project identified barriers in the non-urban training model for participants, including a lack of transportation and housing/training center infrastructure, so this project will add a mobile training vehicle to provide hands-on training access to a wider range of communities. It will work with partners to provide a variety of services, including academic guidance, clear educational and vocational goals, financial resources, and assistance adapting to “nontraditional” work. OTW will provide outreach and recruitment strategies for engaging diverse communities as well as case management and social support services for program participants which include access to funds for childcare, gas cards, and tool and work gear resources. OTW has over 30 years of experience providing expert technical assistance to RAPs and training for pre-apprentices to address factors that remain barriers for enrollment and completion of diverse registered apprenticeship, including discrimination, racism, and isolation. They will serve 60 apprentices. Information Technology RAP RFP. ATD, in partnership with ODE will release an RFP for innovation and implementation which will award up to \$400,000 for successful proposals that present a cohesive, multi-regional strategy which capitalizes on the momentum generated by industry, workforce investments boards, and educational institutions for IT RAPs. At least 50 apprentices will become registered apprentices over the course of this funding cycle. The RFP will require a robust and comprehensive plan that identifies specific strategies for outreach, recruitment, and retention for marginalized communities and will prioritize proposals that include close coordination with USDOL industry intermediaries. 50 apprentices will be

served through this project. **Innovation in Apprenticeship Expansion Efforts:** This project will utilize the framework identified by WERC to provide apprenticeship opportunities for communities of color, women, Veterans, youth, and other underserved populations in order to create direct pathways into RAPs that serve communities outside of metropolitan areas. This framework is grounded in partnerships in non-urban regions across the state through partnerships with RAPs, local workforce boards, high school CTE, and adult training programs in order to leverage resources, including supportive services. The Oregon Apprenticeship cross-agency team (ATD, HECC, OED and ODE) have initiated a three-year (2020-2023) strategic plan that includes innovative, accessible, and inclusive strategies to enhance and expand opportunities for underserved populations and to expand the labor pool for apprenticeship. Key activities include: Cultural competency training for contractors to create a welcoming work environment for underrepresented populations, ATD's bilingual, Southern Oregon Apprenticeship Representative, Hiring a DEI specialist to work across apprenticeship and pre-apprenticeship programs to develop strategies and practices for compliance with 29 CFR 30 and Oregon regulations for creating workplaces free of harassment, discrimination, and bullying., Strategic partnerships with secondary and post-secondary schools that serve communities of color and diverse cultures. SAEI funds will expand on these efforts by: Funding a mobile pre-apprenticeship lab that will provide construction craft laborer training in regions with little access to pre-apprenticeship training. Program completers will have direct entry into Oregon Laborers JATC which has geographical jurisdiction across the state, Southern Oregon pre-apprenticeship program that recruits and trains pre-apprentices and will provide placement services into both union and non-union regional electrical RAPs, expanding carpenter-specific pre-apprenticeship training into rural parts of the state that allow for facilitated entry into any of

the seven occupational standards offered by the Pacific Northwest Carpenter JATC, RAP expansion into the Behavioral Health sector, funding a cohesive regional strategy that results in 50 registered apprenticeship opportunities in IT RAPs and creates a model for regional, sector-based partnerships that is scalable across the state. Each component offers expansive and innovative approaches to engaging industry stakeholders, workforce development agencies and local registered apprenticeship programs in partnerships that result in achievable and sustainable growth models that serve more diverse industries and communities. These approaches also respond to the federal government’s focus on infrastructure and the future of America’s workforce Table 3. Oregon Poverty Rates by Racial/ Ethnic Categories<sup>5</sup>

	Black/African American	Hispanic/Latino	White
Overall Population	2.2%	13.4%	86.7%
2019 Poverty Rate	21%	20%	11.8%

Opportunities created by a Behavioral Health RAP are especially important to reduce the disparity women currently experience due to COVID-19. COVID-19 closures for health and safety measures have resulted in unparalleled job losses in majority-female sectors. Women make up 75% of the Health Care and Social Service industry<sup>6</sup>. Creating clear career pathways in the behavioral health sector that provide benefits and certifications will mitigate this disparity. In addition, women only represent 7.56% of construction apprentices in Oregon<sup>7</sup>. SAEEI funds will provide training and supportive services that assist women to enroll in and successfully complete

<sup>5</sup> *Quality Information, Oregon State Employment Department (March 2021)*

<sup>6</sup> Oregon Employment Department and US Census Bureau CWI Explorer

<sup>7</sup> ATD Division Management Report, March 2021

construction RAPs. **Work Plan:** Oregon will work with five sub-recipients to carry out grant projects and meet objectives. Staff from the State Apprenticeship Team will help provide project management and technical assistance to the sub-recipients to ensure they have the tools necessary to complete their objectives. Each sub-recipient has identified their own work plan that outlines specific goals and milestones. Please see the attached Work Plan document for more detailed information. **Organizational, Administrative and Fiscal Capacity:** The Higher Education Coordinating Commission (HECC) is the lead applicant and will act as the grant administrator. HECC will coordinate all program and fiscal reporting, conduct all procurements, monitor sub-recipients, conduct project management and ensure all deliverables are met. HECC has experience in administering federal grants including WIOA and various discretionary grants. HECC has previously received the State Apprenticeship Expansion Grant, the Apprenticeship State Expansion Grant and the State Apprenticeship Expansion 2020 Grant. HECC has the structures in place to administer this expansion grant including a designated grant manager that oversees all apprenticeship activities and works very closely with procurement and fiscal staff in all phases of grant management. The grant manager will ensure that each sub-recipient receives adequate training related to administering federal grants. HECC assigns a budget manager and an accountant to each grant and those staff along with the grant manager meet monthly to discuss the financial aspects of the grant. HECC will coordinate all project activities with the State Apprenticeship Team. With this partnership, programs will receive a variety of technical assistance while being connected to other services and supports that apprentices could benefit from. Project managers will hold monthly meetings with each sub-recipient to stay up-to-date on project activities and progress. This will also be a time to provide technical assistance, identify issues and provide feedback. The State Apprenticeship Team will meet monthly to review the

status of each project and develop strategies for technical assistance and training needs.

**Financial, Data Collection, and Performance Reporting Systems:** Oregon HECC agrees to meet the DOL reporting requirements of collecting and aligning individual record-level data to the PIRL apprenticeship schema. Oregon HECC agrees to submit this data via the WIPS online reporting portal in the required format. HECC is currently working with BOLI-ATD to align their data management system to meet the data reporting requirements. The data reported through this system will be compared to the data submitted quarterly by grantees to check for accuracy and compared to grant goals. HECC and BOLI-ATD will provide training and technical assistance to grantees on the reporting requirements, data elements and the reporting database.

**Sustainability:** Leaders around Oregon have taken a greater interest in apprenticeship over the last few years which is evidenced by apprenticeship being included as part of larger workforce and education initiatives. Earlier this year, Oregon's State Workforce Board, the Workforce and Talent Development Board (WTDB), formed the Equitable Prosperity Taskforce, which is charged with developing a set of recommendations to reimagine and redesign our workforce system. The taskforce has identified five key imperatives, one of which is to "extend the apprenticeship model beyond manufacturing and the construction trades." This strong statement of support reinforces apprenticeship as a key prong of the state's workforce development agenda. Included in the Oregon Governor's Recommended Budget for the 2021-2023 biennium is funding for the Oregon Youth Employment Program to support youth, including those in registered apprenticeship and pre-apprenticeship. Oregon is a national leader in Next Generation Sector Partnerships. These partnerships inform and support the development of workforce solutions, including apprenticeship. For example, the Southwestern Oregon Workforce Investment Board serves as the convener for a regional healthcare Sector Partnership, which was

instrumental in developing the state's first Medical Assistant Registered Apprenticeship Program. Each biennium, Oregon's local workforce development boards receive state funding to convene and support Sector Partnerships, creating a sustainable infrastructure to continue expansion of Registered Apprenticeships. Every region of the state has healthcare and manufacturing Sector Partnerships, and nearly every region also has an IT/technology Sector Partnership.

**Past Performance:** Over the last four years Oregon has made great progress in expanding apprenticeship opportunities. Tools and trainings have been developed to help with create and maintain pre-apprenticeship and registered apprenticeship programs. Oregon has focused expansion in non-traditional industries including healthcare and information technology. Most notably is the Medical Assistant Registered Apprenticeship Program that is now available in regions across the state with a total of 126 apprentices registered to date. Oregon recently approved a Long-Term Care Certified Nurse Assistant registered apprenticeship program. Oregon partners with many organizations that are well positioned to engage and sign on employers. The Oregon State Apprenticeship Team is comprised of four state agencies who direct and carry out apprenticeship activities. This partnership allows for alignment of apprenticeship to the workforce and education systems with representatives from K-12, community college, Workforce Innovation and Opportunity Act titles I, II and III, unemployment and the one-stop system. The team oversees apprenticeship strategic planning and implementation, carries out grant objectives and provides knowledge and expertise for the creation and expansion of pre-apprenticeship and registered apprenticeship programs. A new and very exciting development is the Apprenticeship and Training Director, Lisa Ransom, has applied to serve on the state Workforce and Talent Development Board. Lisa is an expert in federal, state and local government workforce solutions. Lisa's previous experience at Helmets

to Hardhats brings invaluable knowledge to the state workforce system. **Performance Goals:** Oregon received a State Apprenticeship Expansion Grant in 2016 and in 2018 received a second installment. The main goals of the grant were to develop core apprenticeship expansion activities such as training, technical assistance, program registration and outreach, development assistance for new programs and pre-apprenticeship services. Other goals included providing support for pre-apprentice programs and expanding the registered apprenticeship model into the healthcare and information technology industries. Through these grants, a medical assistance and software developer Registered Apprenticeship Programs were developed. A total of 516 pre-apprentices and registered apprentices were served. Please see the attached performance chart for more details. **Spending Rate and Tracking of Funds:** Oregon's spending rate for the State Expansion Grant quarter ending 9/30/20 was 71%. The cost per positive outcome is \$3,077.54. The COVID-19 pandemic required a pause of some of the grant projects while the state put strategies and infrastructure in to place to meet the challenges caused by the inability to provide in person training and education. These strategies have allowed for grant activities to resume, and, in some cases, to engage more with non-urban partners. The HECC grant manager works very closely with grantees to ensure that grant funds are not being comingled with other grant funds and reviews quarterly sub recipient reports to ensure that participants are not being reported more than once. Additionally, sub recipient contracts are set up with very specific outcomes which align to a specific grant. The grant manager ensures that staff time spent on grant activities is charged to the appropriate grants. SAEI funds will provide additional fiscal management by creating a Project Manager that will provide additional monitoring for sub recipient activities and budget reporting



## Oregon HECC

### Abstract

<b>State Apprenticeship Expansion, Equity and Innovation Grant</b>	
<b>Lead Applicant Organization's Name</b>	Higher Education Coordinating Commission
<b>Lead Applicant Entity Type</b>	Institute of Higher Education/State Government Agency
<b>Lead Application City and State</b>	Salem, Oregon
<b>Project Title</b>	Advancing Oregon Apprenticeship
<b>Funding Amount Requested</b>	\$3,999,999
<b>Number of apprentices enrolled in RAPs</b>	500
<b>Populations to be Served</b>	At risk youth, women, low income, communities of color, underrepresented communities, communities impacted by COVID-19 and forest fires.
<b>Organization Name and Entity Type of Required Partner</b>	Bureau of Labor and Industries, Apprenticeship and Training Division. State Apprenticeship Agency
<b>Organizations Names and Entity Type of Optional Partners</b>	<p>Oregon Department of Education: State Government Agency</p> <p>Oregon Employment Department: State Government Agency</p> <p>United We Heal: Healthcare</p> <p>Northwest Oregon Works: Local Workforce Development Board</p> <p>Willamette Workforce Partnership: Local Workforce Development Board</p> <p>Pacific NW Carpenters Institute: Labor</p> <p>Crate Lake JATC: Labor</p> <p>Oregon and Southern Idaho Laborers</p>
<b>List of Credentials to be Awarded</b>	<p>QMHA (Qualified Mental Health Associate)</p> <p>CADC (Certified Addictions Counselor)</p> <p>OSHA 10</p> <p>Welding</p> <p>BOLI certification</p>

<b>Census Tract Number(s) in Target Area</b>	NA
<b>Contact Information</b>	Jennifer Denning, Program Analyst <a href="mailto:Jennifer.l.denning@hecc.oregon.gov">Jennifer.l.denning@hecc.oregon.gov</a> 503-779-8818

**Summary of Program Activities**

**United We Heal**, in partnership with Northwest Works, will develop an apprentice pathway for workers in the mental health and addiction counseling fields to earn their related certificate. The program will serve 250 apprentices. Some of the activities of the program include:

- navigating MHACBO certification/testing processes;
- arrange flexible schedules for apprentices;
- application to accredited programs including the AFSCME Free College program;
- navigating the Public Loan Forgiveness program.
- arrange supportive services per individual need.

**Pacific NW Carpenters** currently has around 1,500 apprentices in Oregon and SW Washington. This project represents a significant expansion into rural communities in Eastern and Southern Oregon. In concert with their pre-apprenticeship program, it represents foundational work for a long-term training to regions that historically struggle to have access to training programs.

**Crater Lake Electrical JATC** is partnering with local schools to provide a year-round Electrician Pre-Apprenticeship program that prioritizes females and other underrepresented groups with 3, 3-month sessions in the first year and 4, 3-month sessions in the remaining 3 years. 2 sessions in the first year would consist of high school students and 1 session would be for adult graduates 18 and older. 3 sessions in the remaining 3 years would be for high school students and 1 for adults. This targeted system would allow for the expansion of RAP participants within the region.

**Oregon Southern Idaho Laborers Apprenticeship** will expand to target women, youth, BIPOC, veterans and individuals with a criminal record or disabilities by using pre-apprentice training to develop viable applicant pools. It will also provide programs to rural and underserved regions of the state.

**Information Technology RFP** will seek partnerships for the development of a high school to employment pathway for certified IT occupations. Several components have been identified and are in place, but the systematic approach and agreements are currently lacking. The requirements of the RFP will help develop a sustainable system.

<b>A. Participant Outputs and Outcomes</b>			
<b>1</b>	<p>Total participants served</p> <p>Total number of all participants served (receiving a grant-funded service) in the program</p> <p><i>Participants: individuals determined eligible under the FOA who receive a grant-funded service, including those who enter pre-apprenticeships and RAPs.</i></p>	<p><b>Year 1: 170</b></p> <p><b>Year 2: 264</b></p> <p><b>Year 3: 329</b></p> <p><b>Year 4: 259</b></p>	<b>Total: 1,022</b>
<b>2</b>	Total participants served <b>and</b> who enter a Registered Apprenticeship Program	<p><b>Year 1: 40</b></p> <p><b>Year 2: 134</b></p> <p><b>Year 3: 199</b></p> <p><b>Year 4: 199</b></p>	<b>Total: 572</b>
<b>3</b>	Total participants who complete a Registered Apprenticeship Program	<p><b>Year 1: 40</b></p> <p><b>Year 2: 134</b></p> <p><b>Year 3: 199</b></p> <p><b>Year 4: 199</b></p>	<b>Total: 572</b>
<b>4</b>	Total participants who receive a certificate of completion of a RAP	<p><b>Year 1: 40</b></p> <p><b>Year 2: 134</b></p> <p><b>Year 3: 199</b></p> <p><b>Year 4: 219</b></p>	<b>Total: 592</b>
<b>5</b>	Median earnings in the second quarter after exit	<p><b>Year 1: \$75,000</b></p> <p><b>Year 2: \$53,250</b></p> <p><b>Year 3: \$53,520</b></p> <p><b>Year 4: \$55,600</b></p>	<b>Total: \$59,275</b>
<b>6</b>	Total participants retaining training-related employment in the second quarter after exit	<p><b>Year 1: 38</b></p> <p><b>Year 2: 123</b></p> <p><b>Year 3: 138</b></p> <p><b>Year 4: 138</b></p>	<b>Total: 437</b>
<b>7</b>	Total participants retaining training-related employment in the fourth quarter after exit	<p><b>Year 1: 36</b></p> <p><b>Year 2: 119</b></p> <p><b>Year 3: 94</b></p> <p><b>Year 4: 134</b></p>	<b>Total: 383</b>
<b>B. Expanding Registered Apprenticeship Program Outputs</b>			
<b>1</b>	Total number of newly created pre-apprenticeship programs	<b>Total: 2</b>	
<b>2</b>	Total number of newly created Registered	<b>Total: 3</b>	

	Apprenticeship programs	
3	Total number of existing apprenticeship programs, including Registered Apprenticeship Programs, that are expanded (e.g., new industries, occupations, or service areas, or increased number of apprentices registered).	<b>Total: 6</b>
4	Total number of new employers engaged due to the grant (i.e., those employers that adopt Registered Apprenticeship Programs as a result of your grant project).	<b>Total: 168</b>

<b>GOAL #1</b>		<b>Enroll 270 Pre-Apprentices</b>	
<i>Activity: Create an Electrician Pre-Apprenticeship program.</i>	<b>Convene employers, school districts, and supportive services. Develop standards, and register program with OSATC</b>	<i>Lead/Support Implementer (s)</i>	<b>Crater Lake Electrical JATC, Medford School District, Rogue WorkForce, Project Youth+, Oregon Tradeswomen</b>
<i>Deliverable (s): 270 pre-apprentices enrolled</i>	<i>Enroll 54 pre-apprentices in year 1 and 72 per year in the remaining 3 years.</i>		
<b>Milestones</b>	<b>Timeframe</b>	<b>Deliverable Dates</b>	
Create draft standards of pre-apprenticeship	Within 3 months of contract execution	<b>Start:</b>	<b>July 2021</b>
Submit standards for approval to OSATC	Within 4 months of contract execution	<b>End:</b>	<b>End of Performance</b>
Standards approved by OSATC	Within 6 months of contract execution	<i>Annual Costs</i>	
Program begins registering pre-apprentices	Within 3 months of contract execution	<b>Year 1</b>	<i>\$ 236,000/ year to staff and administer pre-apprenticeship program</i>
Program registers 126 pre-apprentices	Within the first 21 months of contract execution	<b>Year 2</b>	<i>\$ 236,000/ year to staff and administer pre-apprenticeship program</i>
Program registers 198 pre-apprentices	Within the 36 months of contract execution	<b>Year 3</b>	<i>\$ 236,000/ year to staff and administer pre-apprenticeship program</i>
Program registers 270 pre-apprentices	Within the 48 months of contract execution	<b>Year 4</b>	<i>\$ 236,000/ year to staff and administer pre-apprenticeship program</i>
		<b>TOTAL</b>	<b>\$944,000</b>

<b>GOAL #2</b>		<b>Matriculate 72 pre-apprentices into registered apprenticeship</b>	
<i>Activity: Guide pre-apprentice graduates into registered apprenticeship</i>	<b>Guide all graduates through the application process for registered apprenticeship</b>	<i>Lead/Support Implementer (s)</i>	Crater Lake Electrical JATC, School Districts, Project Youth+, areawide Apprenticeship Programs
<i>Deliverable (s): 72 registered apprentices registered into construction trade's apprenticeships</i>	<b>Matriculate around 18 pre-apprentice participants into registered apprenticeship each year.</b>		
<b>Milestones</b>	<b>Timeframe</b>	<b>Deliverable Dates</b>	
The 1 <sup>st</sup> graduates apply with registered apprenticeships	Within 9 months of contract execution	<b>Start:</b>	<b>January 2022</b>
The 1 <sup>st</sup> graduates interview with registered apprenticeships	Within 12 months of contract execution	<b>End:</b>	<b>End of Performance</b>
The 1 <sup>st</sup> graduates enter registered apprenticeships	Within 18 months of contract execution	<i>Annual Costs</i>	
25 graduates apply with registered apprenticeships	Within 12 months of contract execution	<b>Year 1</b>	\$ 7,000
33 graduates enter registered apprenticeships	Within 24 months of contract execution	<b>Year 2</b>	\$ 7,000
52 graduates enter registered apprenticeships	Within 36 months of contract execution	<b>Year 3</b>	\$ 7,000
72 graduates enter registered apprenticeships	Within 48 months of contract execution	<b>Year 4</b>	\$ 7,000
		<b>TOTAL</b>	\$ 28,000

<b>GOAL #3</b>			
<b>Matriculate 100 pre-apprentices into introductory construction jobs</b>			
<b>Activity: Guide 100 pre-apprentices into construction jobs that will “bridge” them into registered apprenticeship</b>	<b>Guide all graduates through the application process for entry-level construction jobs (laborer, shop hand, etc.)</b>	<b>Lead/Support Implementer (s)</b>	<b>Crater Lake Electrical JATC, Medford School District, Rogue WorkForce, Project Youth+, Oregon Tradeswomen</b>
<b>Deliverable (s):</b>			
<b>Milestones</b>	<b>Timeframe</b>	<b>Deliverable Dates</b>	
The 1 <sup>st</sup> graduates apply with contractors	Within 9 months of contract execution	<b>Start:</b>	<b>January 2022</b>
The 1 <sup>st</sup> graduates interview contractors	Within 10 months of contract execution	<b>End:</b>	<b>End of Performance</b>
The 1 <sup>st</sup> graduates enter employment with contractors	Within 12 months of contract execution	<b>Annual Costs</b>	
20 graduates are employed in entry-level construction	Within 12 months of contract execution	<b>Year 1</b>	<b>\$ 7,000</b>
46 graduates are employed in entry-level construction	Within 24 months of contract execution	<b>Year 2</b>	<b>\$ 7,000</b>
73 graduates are employed in entry-level construction	Within 36 months of contract execution	<b>Year 3</b>	<b>\$ 7,000</b>
100 graduates are employed in entry-level construction	Within 48 months of contract execution	<b>Year 4</b>	<b>\$ 7,000</b>
		<b>TOTAL</b>	<b>\$ 28,000</b>

<b>Key Partners</b>			
<b>Organization Name</b>	<b>Partnership MOU Status</b>	<b>Website</b>	<b>Contact name/email</b>
Medford School District	Active	www.medford.k12.or.us	Hal Jones Hal.Jones@medford.k12.or.us
Project Youth+	Active	www.projectyouthplus.org	Jen Perry jen@pyplus.org
Rogue Workforce Partnership	Active	www.rogueworkforce.org	Jill teVelde jill@rogueworkforce.org

## Oregon Behavioral Health RAP Work Plan

<b>GOAL #1</b>	<b>Register 196 Apprentices in the QMHA RAP</b>		
<i>Activity: Create new registered apprenticeship programs in the Behavioral Healthcare sector</i>	Convene employers, develop standards, and register program.	<i>Lead/Support Implementer (s)</i>	UWH-OR AFSCME
<i>Deliverable (s): 196 registered apprentices served and entered the RAP</i>	Register at least 196 apprentices over the 4 year grant term; By year three, achieve scale of at least 54 apprentices entering the RAP per year, and 49 per year being retained in post-apprenticeship employment.		
<i>Milestones</i>	<i>Timeframe</i>	<i>Deliverable Dates</i>	
Create draft standards of apprenticeship	May 2021	<i>Start:</i>	<b>July 2021</b>
Submit standards for approval to OSATC	July 2021	<i>End:</i>	<b>End of Performance</b>
Standards approved by OSATC	September 2021	<i>Annual Costs</i>	
Program begins registering apprentices with 2 employers that have apprentices	January 2022	<i>Year 1</i>	<i>\$ 152,500 / year to staff and administer apprenticeship program</i>
Program has registered a total of 50 apprentices working with three employers --- First Apprentices Complete Program	September 2022 ---- December 2022	<i>Year 2</i>	<i>\$ 152,500 / year to staff and administer RAP</i>
Program registers 100th apprentice. Apprentices are working with 4 employers.	September 2023	<i>Year 3</i>	<i>\$ 152,500 / year to staff and administer RAP</i>
177th apprentice completes RAP & receives certification as QMHA	June 2024	<i>Year 4</i>	<i>\$ 152,500 / year to staff and administer RAP</i>
			<i>\$610,000</i>



<b>GOAL #2</b>	<b>Register 54 apprentices in PSS, CADC I, and MHC RAPs</b>		
<b>Activity: Register new RAPs for Peer Support Specialist, CADC I, and Mental Health Counselor</b>		<b>Lead/Support Implementer (s)</b>	<b>NOW &amp; WWP</b>
<b>Deliverable (s): 54 registered apprentices served and enrolled</b>	<b>Register at least 3 new occupations and 54 apprentices over the 4 year grant term; engage at least 3 new employer partners as Registered Training Agents</b>		
<b>Milestones</b>	<b>Timeframe</b>	<b>Deliverable Dates</b>	
Create draft standards of apprenticeship for 3 new occupations	July 2021	<b>Start:</b>	<b>July 1, 2021</b>
Submit standards for approval to OSATC	July 2021	<b>End:</b>	<b>June 30, 2025</b>
Standards approved by OSATC	September 2021	<b>Annual Costs</b>	
Program begins registering initial cohort of apprentices with employer partners	September/October 2021	<b>Year 1</b>	<i>\$ 40,500 / year to staff and administer apprenticeship program</i>
10 new apprentices are enrolled and begin making progress toward completion	July 2022	<b>Year 2</b>	<i>\$ 40,500 / year to staff and administer apprenticeship program</i>
12 new apprentices get enrolled and some complete as applicable to each occupation; at least 22 are enrolled by the end of year 2	July 2023	<b>Year 3</b>	<i>\$ 40,500 / year to staff and administer apprenticeship program</i>
14 new apprentices get enrolled and some complete as applicable to each occupation; at least 36 are enrolled by the end of year 3	July 2024	<b>Year 4</b>	<i>\$ 40,500 / year to staff and administer apprenticeship program</i>
18 new apprentices get enrolled and some complete as applicable to each occupation; at least 54	June 2025		

are enrolled by the end of year 4			
		<b>TOTAL</b>	\$162,000

<b>Key Partners</b>			
<b>Organization Name</b>	<b>Partnership MOU Status</b>	<b>Website</b>	<b>Contact name/email</b>
<b>OR AFSCME</b>	<b>Letter of Commitment</b>	<b>oregonafscme.org</b>	<i>Kathy Formella, kformella@oregonafscme.org</i>
<b>Clatsop Behavioral Health</b>	<b>Letter of Commitment</b>	<b>clatsopbh.org</b>	<i>Amy Baker; amyb@clatsopbh.org</i>
<b>Olalla Center</b>	<b>Verbal Commitment to Hire Apprentices</b>	<b>olallacenter.org</b>	<i>Dee Teem; deet@olallcenter.org</i>
<b>Northwest Oregon Works</b>	<b>Letter of Commitment</b>	<b>onwib.org</b>	<i>Heather DeSart; heather@onwib.org</i>
<b>Willamette Workforce Partnership</b>	<b>Letter of Commitment</b>	<b>willwp.org</b>	<i>Kim Parker-Llerenas; kparker-llerenas@willwp.org</i>



# Pacific NW Carpenters Institute

Premier Training Center for Oregon, SW Washington and Idaho

<b>Yearly Goals</b>		<b>Register 160 new apprentices in the carpentry occupations in the rural areas</b>	
Activity #1: Offer a pre-apprenticeship class in Eastern OR for 16 participants each year for the life of the grant	Develop schedule, curriculum, plan out logistics & put on class	PNCI team & local community partners	PNCI
Activity #2: Offer a pre-apprenticeship class in Southern OR for 16 participants each year for the life of the grant	Develop schedule, curriculum, plan out logistics & put on class	PNCI team & local community partners	PNCI
Activity #3: Offer a pre-apprenticeship class in either Southern OR/Eastern OR/Tangent for 16 participants each year for the life of the grant	Develop schedule, curriculum, plan out logistics & put on class	PNCI team & local community partners	PNCI
Deliverable #1: graduate 192 pre-apprentices with a BOLI approved certificate of completion	Graduate 48 pre-apprentices a year over the life of the grant.		
Deliverable #2: 160 registered apprentices registered in Carpenter, Exterior/Interior Specialist, Millwright, PileDriver or Scaffold Erector standards of apprenticeship.	Register at least 40 apprentices per year over the life of the grant.		
<b>Yearly Milestones</b>	<b>Timeframe</b>	<b>Deliverable Dates</b>	
Create schedule for year	Within 3 months of contract execution		
Host 1 <sup>st</sup> class	Quarter 2		
Host 2 <sup>nd</sup> class	Quarter 3		
Host 3 <sup>rd</sup> class	Quarter 3		
Graduate 48 pre-apprentices and register 40 apprentices	By end of year		
		<b>Annual Costs</b>	
Program begins graduating pre-apprentices and registering apprentices	Within 6 months of contract execution	<b>Year 1</b>	\$ 180,000/ year to pay for instruction, facility rental, materials,



# Pacific NW Carpenters Institute

Premier Training Center for Oregon, SW Washington and Idaho

			<i>lodging/travel/food costs for participants and administer pre-apprenticeship program</i>
		<b>TOTAL</b>	\$180,000 / yearly

<b>Key Partners</b>			
<i>Organization Name</i>	<i>Partnership MOU</i>	<i>Website</i>	<i>Contact name/email</i>
OR SW-WA Carpenters JATC, MA 1057	Y	<a href="http://www.pnci.org">www.pnci.org</a>	Az Ryan, Administrator <a href="mailto:azadehryan@pnci.org">azadehryan@pnci.org</a>
NWCU	Y	<a href="http://www.nwcarpenters.org">www.nwcarpenters.org</a>	Michael Burch <a href="mailto:mburch@nwcarpenters.org">mburch@nwcarpenters.org</a>

Oregon Laborers Training Trust

GOAL #1	Implement Pre-Apprenticeship Training / Trades-Specific Training in Underserved Rural Communities		
<b>Activity:</b> work with BOLI ATD to determine where there is a lack of RA and PAT programs certified by BOLI in rural communities that are underserved by RA and PAT	Meet with regional workforce system partners, employers and community-based organizations to identify opportunities.	<b>Lead/Support Implementer (s)</b> Laborers Registered Apprenticeship Program	<b>Local area workforce board</b> TBD
<b>Deliverable (s):</b> Implement three to four apprenticeship-readiness/trades-specific training cohorts in identified rural areas (dependent upon COVID restrictions)	Provide PAT/Trades-specific training to a minimum of sixty (60) women / BIPOC jobseekers.  Placement of sixty (60) women/BIPOC completers/graduates into registered apprenticeship and/or pre-apprenticeship over the length of the project.		
Milestones	Timeframe	Deliverable Dates	
Meet with BOLI ATD to identify rural communities	Quarter 1	<b>Start:</b>	July 1 <sup>st</sup> 2021
Meet with regional industry stakeholders to develop outreach and recruitment plan	Quarters 1 and 2	<b>End:</b>	June 30 <sup>th</sup> 2025
Identify regional partnership project for hands-on trades training	Quarters 1 - 3	Annual Costs	
Provide apprenticeship readiness and trades specific training (1 <sup>st</sup> cohort)	Quarter 4 - 5	<b>Year 1</b>	\$ 150,000/ year to staff and administer PAT/Trades-specific training program
Provide apprenticeship readiness and trades specific training (2 <sup>nd</sup> cohort)	Quarters 8 - 9	<b>Year 2</b>	\$150,000/ year to staff and administer PAT/ Trades-specific training program

Provider apprenticeship readiness and trades specific training (3 <sup>rd</sup> cohort)	Quarters 12 – 13	<b>Year 3</b>	\$150,000/ year to staff and administer PAT/Trades-specific training program
Placement of 60 jobseekers into RA	Ongoing beginning Quarter 5 – 16	<b>Year 4</b>	\$150,000/ year to staff and administer PAT/Trades-specific training program
		<b>TOTAL</b>	\$600,717.28

<b>GOAL #2</b>		<b>Create replicable model for BOLI Certified RA and PAT</b>	
<b>Activity:</b> Create an overview of model that can be replicated for other registered apprenticeship programs in rural communities	Provide recommendations and model to BOLI ATD for replication	<b>Lead/Support Implementer (s)</b> Laborers RA	
<b>Deliverable (s):</b> Present recommendations to BOLI ATD			
<b>Milestones</b>	<b>Timeframe</b>	<b>Deliverable Dates</b>	
Develop recommendations	Quarters 12 - 15	<b>Start:</b>	July 1 <sup>st</sup> 2021
Present to BOLI ATD staff	Quarter 16	<b>End:</b>	June 30 <sup>th</sup> 2025
		<b>Annual Costs</b>	
		<b>Year 1</b>	\$0.00
		<b>Year 2</b>	\$0.00
		<b>Year 3</b>	\$0.00
		<b>TOTAL</b>	\$0.00

<b>GOAL #3</b>		<b>Determine Direct Entry/Priority Process PATP</b>	
<b>Activity:</b> Laborer's RA program will		<b>Lead/Support Implementer (s)</b>	

work with Oregon Tradeswomen to identify opportunities for increasing entry into registered apprenticeship via pre-apprenticeship to increase women and BIPOC participation		Laborers RA	
<b>Deliverable (s):</b> Updated MOA			
Milestones	Timeframe	Deliverable Dates	
Identify outcomes	Quarters 6 - 16	<b>Start:</b>	July 1 <sup>st</sup> 2021
Identify retention	Quarters 6 - 16	<b>End:</b>	June 30 <sup>th</sup> 2025
Review exemption options and selection procedures	Quarter 12	Annual Costs	
Update MOA	Quarter 15	<b>Year 1</b>	\$0.00
Submit to BOLI ATD	Quarter 16	<b>Year 2</b>	\$0.00
		<b>Year 3</b>	\$0.00
		<b>TOTAL</b>	\$0.00

Key Partners			
Organization Name	Partnership MOU Status	Website	Contact name/email
Oregon Tradeswomen	Completed	<a href="http://www.oregontradeswomen.org">www.oregontradeswomen.org</a>	Kelly Kupcak <a href="mailto:kelly@oregontradeswomen.org">kelly@oregontradeswomen.org</a>

## Oregon Behavioral Health Organizational Chart

The chart describes the qualifications and experience of personnel, advisors, and consultants, to fulfill the needs and requirements of the proposed project, demonstrating the ability to manage a strategic partnership, including fiscal and administrative management, outreach, and promotion.

Position	Purpose	Qualifications/Experience
UWH OR AFSCME Fund Director	Grant management, Employer and Union Engagement, Staff Oversight	Fund Director has expertise in working with legal documents, understanding of addressing workforce needs, knowledge of the industry, experience in managing employees, handling budgets, and working relationships with employer and union leaders and union staff.
UWH OR AFSCME Program Manager	Grant management, timeline coordination, recruitment and retention, navigating supportive services, journey person coordination and support training program coordination	Program Manager has experience with the needs of the behavioral health workforce, QMHA certification path, employer and employee needs, collective dispute resolution; has hands-on experience with career advancement in behavioral health industry, communicating with multiple stakeholders, creating and meeting project timelines
UWH OR AFSCME Fiscal Director	Grant management; payroll, budget oversight	Fiscal Director has experience managing budgets with multiple dedicated funds for \$9 million organization, handling multiple funding streams, payroll, expenses and accounting, working with auditors, reporting



UWH OR AFSCME Fiscal Assistant	Grant management, payroll, budget assistance	Fiscal Assistant has experience managing budgets, payroll, expenses, accounting
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UWH OR AFSCME Funds Counsel	Legal compliance	Counsel has experience in establishing and providing legal support to JATC and RAPs.
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UWH OR AFSCME IT Systems Director	Database development and support, information security and management and Website Design	IT systems director has experience in developing, managing, and upgrading data tracking system, providing support to users, website design; can develop strategies to ensure security, performance, consistency and maintainability of all information systems
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UWH OR AFSCME Union Trustee	Co-create and provide direction to Training Trust, set and maintain strategic vision, provide apprentice and journey person perspectives	Union leader who brings organizational commitment, engagement of union; perspective on state and national level workforce issues; has experience in collective decision making, creating and sustaining partnerships, securing and allocating funding, managing budgets, creating programs, and overseeing a large organization
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UWH OR AFSCME Union Trustee	Co-create and provide direction to Training Trust, set and maintain strategic vision, provide apprentice and journey person perspectives	Worker leader has grassroots understanding of workforce needs and struggles, as well as clients' needs, experience navigating behavioral health systems and certification processes
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UWH OR AFSCME Management Trustee	Co-create and provide direction to Training Trust, set and maintain strategic	Employer representative understands workforce needs and areas of opportunity; can leverage employer engagement
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	vision, provide employer perspectives	throughout industry to find and place apprentices; understands employer constraints and clients needs, trends in behavioral health industry and professions
--	---------------------------------------	---

UWH OR AFSCME Management Trustee	Co-create and provide direction to Training Trust, set and maintain strategic vision, provide employer perspectives	Employer representative understands workforce needs and areas of opportunity; can leverage employer engagement throughout industry to find and place apprentices; understands employer constraints and clients needs, trends in behavioral health industry and professions
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UWH OR AFSCME SMART Center Consultant	Outreach and provide technical assistance to apprentices and prospective apprentices, support apprentices in navigating process	SMART Center Consultant has strong customer service skills, experience helping workers navigate complex bureaucracy, maintains strong understanding of apprenticeship pathway, appropriate resources, paperwork requirements, and available supports and services
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UWH OR AFSCME Council Representative	Assists in identifying and recruiting apprentices and mentors. Works with employers to facilitate scheduling and implementation of on the job learning opportunities.	Has relationships with current behavioral health workers, understands employee experience, workforce gaps, and impact of workforce shortages; has experience communicating effectively with employees in various worksites
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Heather DeSart, NOW Executive Director	Provide strategic leadership and oversight over the project on behalf of NOW	20 years in workforce development and organizational leadership and experience developing innovative programs in healthcare and behavioral health in multiple states
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Kim Parker-Llerenas, WWP Executive Director	Provide strategic leadership and oversight over the project on behalf of WWP	Public, non-profit, and workforce development leadership, including with multiple stakeholders in the public workforce system
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Karen Litvin, NOW Program & Compliance Director	Oversee day-to-day management of the project on behalf of NOW to ensure alignment and leveraging of public workforce system resources	Skilled and experienced in project management, as well as background in workforce development, grant reporting, compliance with federal guidelines, policies and procedures
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Ami Maceira-McSparin, WWP Program Director	Oversee day-to-day management of the project on behalf of WWP to ensure alignment and leveraging of public workforce system resources	Extensive experience in social work, workforce development and serving underrepresented populations; knowledge of WIOA and public workforce system, as well as specific occupations related to behavioral health
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Alfonso Salazar, NOW Project Director/ Apprenticeship Coordinator	Recruit and enroll apprentices; engage with current and prospective employer partners; serve as the administrator for the OBH JATC	MS in Project Leadership & Management with background in project management, non-profit work, and administrative/ programmatic oversight
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Jason Swain, NOW Chief Financial Officer	Ensure fiscal and administrative integrity for the project, as well as compliance with applicable tracking requirements	CPA certified fraud examiner, and certified internal auditor with 20+ years in public and private accounting, including as CFO for a local workforce board overseeing multiple public funding streams
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Gary Mueller, WWP Director of Administration & Finance	Ensure fiscal and administrative integrity for the project, as well as compliance with applicable tracking requirements	Decades of fiscal experience in both the private sector and non-profit/public workforce system world and expertise is setting up fiscal tracking systems for federally funded programs
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## Organizational Chart

Please include all staff working on the grant whether they are being paid with grant funds or not.

The chart must describe the qualifications and experience of all executive and administrative staff, as well as other personnel such as board members, advisors, and consultants, to fulfill the needs and requirements of the proposed project. Such qualifications and experience must demonstrate the ability to manage a strategic partnership, including fiscal and administrative management, outreach, and promotion.

<b><i>SAEEI/BOLI</i></b>		
<b>Oregon Laborers Apprenticeship &amp; Pre-Apprenticeship Expansion</b>		
<b>Position</b>	<b>Purpose</b>	<b>Qualifications/Experience</b>
Training Director	Grant management	The Training Director has 4 years of experience in financial and operational oversight and decision-making, staffing, budget/resource allocation, (including managing federal grant funds), and management of training operations of a state registered non-profit apprenticeship program.
Administrative Assistant	Grant management	The Administrative Assistant has experience in the implementation of retention support systems, data tracking analysis in student progress and completion, collaborating with different partners in creating graduation plans, finding and referring students to community resources, planning/hosting informational events and educational workshops, and developing outreach material for Oregon Laborers Apprenticeship program.
Instructor(s)	Hands-On Training and course management	LiUNA Instructor(s) are Journey level SMEs in the Construction Craft Laborers' trade (CCL). LiUNA Instructors participate in one of the most comprehensive CCL Professional Development Training Programs. This training allows our instructors to demonstrate knowledge of adult education practices, execute student-centered, activity based teaching techniques, convey trade

		<p>information professionally, have excellent course management skills provide a dynamic and engaging learning environment with practical experience in which students gain industry knowledge and trade skills.</p>
Apprenticeship Coordinator	Hands-On Training and course management	<p>LiUNA Training Apprenticeship Coordinators are Journey level SMEs who demonstrate: program management skills, effective recruitment and retention techniques, varied communication skills, partnership development strategies. They possess the skills needed to develop the next generation of journey workers</p>
Apprenticeship Coordinator	Hands-On Training and course management	<p>LiUNA Training Apprenticeship Coordinators are Journey level SMEs who demonstrate: program management skills, effective recruitment and retention techniques, varied communication skills, partnership development strategies. They possess the skills needed to develop the next generation of journey workers</p>



# Pacific NW Carpenters Institute

Premier Training Center for Oregon, SW Washington and Idaho

Name/Position	Purpose/Role	Qualifications/Experience
Az Ryan Apprenticeship Administrator	Grant Manager	Has experience managing government grant funding.
Amber McCoy Instructor/Recruitment & Outreach Coordinator	Lead Instructor/ Curriculum Developer, Recruitment, Retention & Technical Assistance	Journey-level carpenter with instructor qualifications and years of experience teaching at PNCI. Pre-apprenticeship program developer and Recruitment/Retention/ Outreach Coordinator.
John Jellum Coordinator/Instructor	Coordinator/Instructor & Technical Assistance	Journey-level carpenter with instructor qualifications and years of experience teaching and coordinating at PNCI.
Val Campa, Teresa Downey, & Jimmy Jones Instructors	Teacher/Instructor	Journey-level carpenter with instructor qualifications and years of experience teaching at PNCI.
Allen Shibley	Maintenance Manager/Logistics	Journey-level carpenter with years of experience overseeing logistics for PNCI, including previous grants.
Lori VanDuzer/Candy Sutton	Accounts Payable/Receivable	Have experience managing funding for previous grants and also serving as accounts payable/receivable for PNCI.
Sandra Rodriguez/Diana Melendez	Administrative Support	Have years of experiencing providing support to team PNCI, including grants.

## Organizational Chart

<b>Crater Lake Electrical JATC</b>		
<b>Position</b>	<b>Purpose</b>	<b>Qualifications/Experience</b>
Instructor/Coordinator (IC)	Manage day-to-day operations of program, instruct classes, outreach, and report metrics. Coordinate job shadows, job-site visits, internships, career coaching, mentoring, applying for Registered Apprenticeship, etc.	The IC is a licensed journey electrician, has instructing experience, is familiar with the Interim Credential curriculum, has demonstrated organizational skills to the level of a field foreman or someone that has coordinated field projects start to finish.
<b>Crater Lake Electrical JATC</b>		
<b>Position</b>	<b>Purpose</b>	<b>Qualifications/Experience</b>
Director	Administrative and budgetary oversight of the program, guidance for the IC, and registering the program with OR BOLI.	Experience administrating a state-registered 501(c)(3) apprenticeship program, connections with statewide apprenticeship programs, and holds a journey electrician license.

<b>Medford School District</b>		
<b>Position</b>	<b>Purpose</b>	<b>Qualifications/Experience</b>
School District Advisor	Liaison with the school districts. Student recruiter for Medford School District. Technical Advising.	Career and College Readiness Coordination, experience with coordination pre-apprenticeship and CTE classes, connections with county high schools
<b>Grants Pass School District</b>		
<b>Position</b>	<b>Purpose</b>	<b>Qualifications/Experience</b>
School District Advisor	Liaison with the school districts. Student recruiter for Medford School District. Technical Advising.	Career and College Readiness Coordination, experience coordinating CTE classes, connections with county high schools
<b>Project Youth+</b>		
<b>Position</b>	<b>Purpose</b>	<b>Qualifications/Experience</b>
Youth Services Coordinator	Liaison with the school districts and Project Youth+. Student recruiter for Jackson and Josephine County schools. Project organization. Coordinating incentives, scholarships and supportive services for youths up to age 24.	Program Management, and connections with all the area high schools. Extensive experience with supportive services, including WIOA services.

<b>Rogue WorkForce Partnership</b>		
<b>Position</b>	<b>Purpose</b>	<b>Qualifications/Experience</b>
WorkForce Advisor	Liaison with the WorkForce centers for “bridge job” placement. Adult recruitment for the adult sessions. Expertise in supportive services for participants.	Workforce Development Director. Experience with business-led private/public partnership. Extensive experience with job matching and addressing employment barriers with supportive services

<b>Oregon Tradeswomen</b>		
<b>Position</b>	<b>Purpose</b>	<b>Qualifications/Experience</b>
Technical Advisor	Provide resources and best practices. Technical assistance with managing grant funds and reporting.	Operation of State Registered Pre-Apprenticeship and administration of grant funds.

<b>Girls Build</b>		
<b>Position</b>	<b>Purpose</b>	<b>Qualifications/Experience</b>
Technical Advisor	Provide resources and best practices. Recruitment and technical assistance with managing grant funds and reporting.	Extensive experience with administration of grant funds. Connections with area schools. Specifically for recruiting girls and young women.





# Oregon

Kate Brown, Governor

**Higher Education Coordinating Commission**

3225 25th Street SE

Salem, OR 97302

[www.oregon.gov/HigherEd](http://www.oregon.gov/HigherEd)

**Date:** April 22, 2021

**To:** U.S. Department of Labor, Employment and Training Administration

**Re:** **State of Oregon State Apprenticeship Expansion, Equity and Innovation Grant Application**

In June 2015, the Apprenticeship and Training Division of the Bureau of Labor and Industries and Oregon Employment Department began a partnership with a shared mission to provide a more modernized, enhanced Registered Apprenticeship system to meet the needs of the OR workforce. Since its inception, the partnership has grown to include the Higher Education Coordinating Commission and the Oregon Department of Education. As state agency leaders of apprenticeship in OR, we've been fortunate to have been previously awarded five apprenticeship grants for which we've successfully utilized to create multiple career opportunities for thousands of Oregonians.

Now, more than ever, Oregon will need the financial support of State Apprenticeship Expansion, Equity, and Innovations (SAEEI) grant as we recover from the impacts of the COVID-19 pandemic and wildfires that consumed a large portion of the state.

Collectively, these efforts will aim to achieve the following goals:

- Expand systems to support the development, modernization, and diversification of Registered Apprenticeship Program (RAPs).
- Improve partnership and alignment to support workforce system integration.
- Increase the number of apprentices enrolled in RAPs, including underrepresented populations.
- Promote innovation in program development and recruitment strategies.

We are committed to Registered Apprenticeship as a proven solution to creating and retaining a pipeline of specialized talent that allows businesses to succeed and communities to thrive. As part of this commitment we need to integrate our systems in order to modernize, diversify, and provide pathways to RAPs for underrepresented populations.

This letter is a statement of our full support of this SAEEI grant proposal and further, our commitment to providing the necessary staffing resources to carry out the vision of its strategic plan.

Ben Cannon, Executive Director  
Higher Education Coordinating Commission



VAL HOYLE  
Labor Commissioner

April 21, 2021

Karen Humelbaugh, Director, Office of Workforce Investments  
Higher Education Coordinating Commission  
3225 25<sup>th</sup> St. SE  
Salem, OR 9302

I write you today in support of Oregon's State Apprenticeship Expansion, Equity, and Innovations (SAEEI) grant proposal.

Oregon's Bureau of Labor and Industries (BOLI) is the State Apprenticeship Agency (SAA) granted exclusive authority in Oregon statute for registering apprenticeship programs, approving pre-apprenticeship programs, and providing regulatory accountability and direct support to Oregon Registered Apprenticeship Programs (RAPs). As Oregon's elected Labor Commissioner, I see every day how critical RAPs are to workers and employers in our state.

Our apprenticeship programs will help our state rebuild from 2020's devastating wildfires and the wide-reaching impacts of the COVID-19 pandemic. I believe we can expand the apprenticeship model to new industries and to more people who traditionally haven't had access to apprenticeship programs.

To reach our strategic goals and vision for apprenticeship, we must improve and integrate our systems. As Oregon works to modernize and diversify RAPs and provide more pathways to RAPs, this grant will support and accelerate our momentum. This grant will especially aid our significant efforts to increase participation and success among underrepresented populations such as women, people of color, and veterans, efforts that have increased in the past 2 years through direct state investment and intentional effort here at BOLI.

Thank you for your time and consideration.

Sincerely,

A handwritten signature in blue ink that reads "Val Hoyle".

Val Hoyle  
Labor Commissioner





April 23, 2021

In June 2015, the Apprenticeship and Training Division of the Bureau of Labor and Industries and Oregon Employment Department began a partnership to better collaborate and align shared work. Since then, the partnership has expanded and strengthened to include the Higher Education Coordinating Commission and the Oregon Department of Education, who all are working to support individuals and businesses pursuing registered apprenticeship opportunities. These enhanced **partnerships have led to five apprenticeship grants awarded to the State of Oregon** and resulted in many successes.

Recently, USDOL has announced another grant opportunity called the State Apprenticeship Expansion Equity and Innovation (SAEEI) to provide states with the flexibility to meet specific industry needs and demands. Collectively, these efforts will aim to achieve the following goals:

- Expand systems to support the development, modernization, and diversification of Registered Apprenticeship Program (RAPs),
- Improve partnership and alignment to support workforce system integration,
- Increase the number of apprentices enrolled in RAPs, including underrepresented populations,
- Promote innovation in program development and recruitment strategies.
- 

As state agency leaders in Oregon, we share this commitment to Registered Apprenticeship as a proven solution to creating and retaining a pipeline of specialized talent that allows businesses to succeed and communities to thrive, as well as to further align our systems in order to modernize, diversify, and provide pathways to RAPs for underrepresented populations.

Please accept this signed letter of support for Oregon's SAEEI grant proposal and our commitment to providing ongoing agency staff resources to serve on the cross-agency Oregon Apprenticeship Team in delivering on the vision of its strategic plan to create growth and prosperity for businesses and job seekers through registered apprenticeship by aligning workforce and education systems.

Sincerely,

A handwritten signature in blue ink, appearing to read 'Colt Gill', is written over a light blue horizontal line.

Colt Gill  
Deputy Superintendent of Public Instruction and  
Director of the Oregon Department of Education



April 21, 2021

Karen Humelbaugh, Director, Office of Workforce Investments  
Higher Education Coordinating Commission  
3225 25th St. SE  
Salem, OR 97302

Re: State Apprenticeship Expansion, Equity, and Innovation (SAEEI) Grant,  
FOA-ETA-21-07

Dear Mrs. Humelbaugh,

I'm writing this letter to commit our support of Oregon's proposal for funding under the State Apprenticeship Expansion, Equity and Innovation Grant opportunity.

CompTIA is pleased to partner with Oregon to expand apprenticeship in tech occupations through the SAEEI grant program. CompTIA is a leading voice and advocate for the \$5 trillion global information technology ecosystem and the estimated 75 million industry and tech professionals who design, implement, manage, and safeguard the technology that powers the world's economy.

Our organization understands the program objectives and will participate in activities that support the project throughout its implementation. We believe there is a place in tech for everyone and have made diversity outreach a focus in our CompTIA Apprenticeships for Tech project. We can provide National Guideline Standards and support materials for diversity outreach to help you reach your goals.

We are pleased to work together on this partnership in registered apprenticeship expansion; in growing and sustaining diversity, equity, and inclusion strategies for participation; and in innovating across participants, programs, and industries to fuel an equitable recovery for Oregon.



Our commitment to the goals of this grant includes:

- Committing to equity-driven new programs through strategies such as public/nonprofit partnerships, pre-apprenticeships, community outreach, mentor/executive/manager/staff DEI training, and HR strategies
- Promoting registered apprenticeship as a training option to partners with tech employers
- Expanding any existing programs by adding occupations in tech from our National Guideline Standards

We look forward to working on this program to expand apprenticeship opportunities in the state of Oregon.

Sincerely,

A handwritten signature in black ink, appearing to read "Charles Eaton". The signature is fluid and cursive, with a long horizontal stroke extending to the right.

Charles Eaton

EVP, Social Innovation



## Grants Pass School District No. 7

725 NE Dean Drive, Grants Pass, OR 97526 · Phone: (541) 474-5709  
www.grantspass.k12.or.us · Fax: (541) 474-5705

OFFICE of CURRICULUM

April 22, 2021

Karen Humelbaugh, Director, Office of Workforce Investments  
Higher Education Coordinating Commission  
3225 25<sup>th</sup> St. SE  
Salem, OR 97302

Dear Mrs. Humelbaugh,

I am writing this letter to commit our support of Oregon's proposal for funding under the State Apprenticeship Expansion, Equity and Innovation Grant opportunity. Grants Pass School District is committed to finding ways to support our students in various career paths. The need in Southern Oregon for electrical workers is great based on our recent regional needs assessment as well as industry input. As a large comprehensive high school, we offer a wide range of career paths but do not have the capacity in either physical space or teacher qualifications to offer a program of study in this area. The pre-apprenticeship program would allow our students opportunities outside of what we have the capacity to offer.

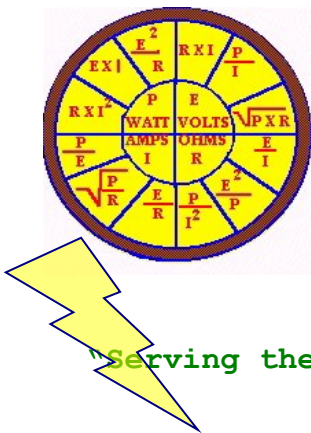
Our commitment in this endeavor would be to recruit student participants and work with student schedules to support their pre-apprenticeship endeavors.

We hope to continue finding opportunities for our students to connect with local industry as well as create career opportunities to sustain them in to the future.

Sincerely,

A handwritten signature in black ink that reads "Trisha Evens".

Trisha Evens  
Director of Secondary Education



**Independent Electrical Contractors, Inc.**  
**Mid-Oregon Chapter**  
1907 Garden Ave Suite 209  
Eugene, OR 97403  
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"Serving the Independent Electrical Contractors and Firms of Lane County"

## AREA III Inside Electricians JATC (MA-3019)

April 23, 2021

Office of Workforce Investment  
Attention: Karen Humelbaugh  
3225 25<sup>th</sup> St.  
Salem, OR 97302

Dear Mrs. Humelbaugh

The Area III Inside Electricians JATC (MA-3019), supports the approval of a registered pre-apprenticeship program under the State Apprenticeship Expansion Equity, and Innovation Grant. The Committee will award completers of the program with some form of advanced standing. It is probable, that the JATC will start with awarding points equivalent to those awarded to candidates, who complete a High School or Community College "Pre-Apprenticeship" Class (Trade Skills Fundamentals and Wiring for the Trades etc.). The committee may also, seek approval for the use of exception 5 for graduates of these types of program.

A registered pre-apprenticeship will help foster growth in the younger age groups (Current average age at entry is 27-34). It can also provide an opportunity for our underrepresented populations to gain exposure to these occupations, in a more "controlled" environment (instead of on the job).

Recent high School graduates are often times not very competitive for entry into the program due to their lack of access to the types of classes that the committee values in its selection process. Committee members and training agents value applicants with trade-related classroom and lab experience, including welding and carpentry; safety training like First Aid/CPR and OSHA 10; an understanding of the apprenticeship process and value of apprenticeship; the importance of a clean driving record; and soft skills like attendance, communication, teamwork. Committee members believe a pre-apprenticeship program will develop applicants that are more competitive by offering training and education in those areas.

Currently, employers are struggling to find qualified applicants with an understanding of basic construction skills. Often times employers have to invest a great deal of their resources, simply training new employees on the "basic" construction skills, prior to embarking on apprenticeship training. In addition, employers often complain of the lack of "Soft Skills" (employability basics) which are also a component of successful pre-apprenticeship programs.

Committee members commit to supporting the program, by speaking to classes and giving demonstrations of electrical processes; providing job shadow opportunities and job-site tours to illustrate the reality of working in the trade; meeting with students one-on-one by request; and participating in virtual classroom presentations.

The Committee supports the pre-apprenticeship program growth throughout Oregon and commits to working with additional programs Statewide.

Sincerely,

Randall M. Tyle  
Executive Director  
Mid-Oregon IEC





April 20<sup>th</sup>, 2021

Karen Humelbaugh, Director, Office of Workforce Investments  
Higher Education Coordinating Commission  
3225 25<sup>th</sup> St. SE  
Salem, OR 97302

Dear Ms. Humelbaugh:

Please accept this letter of commitment from Oregon Tradeswomen as support of Oregon's proposal for funding under the State Apprenticeship Expansion, Equity, and Innovation Grant opportunity. Oregon Tradeswomen is proud to serve as a partner with the Oregon and Southern Idaho Laborers-Employers Training Trust to expand opportunities for women and People of Color, who continue to be under-represented in registered apprenticeship and the construction industry. Through engagement with workforce development system partners and industry employers in targeted rural communities in Oregon, we will support expanding both pre-apprenticeship and registered apprenticeship in those areas through a mobile training model, and with an equity lens.

With the overarching goal to expand Registered Apprenticeship, pre-apprenticeship and create a pipeline of diverse, skilled and qualified candidates in for the high-wage, high-skilled trades occupations in the construction industry, Oregon Tradeswomen will specifically lend technical assistance and resources to support the goals of the Laborers, as well as Oregon Bureau of Labor and Industries Apprenticeship and Training Division to increase the participation of girls and women in careers that currently represent only 8% of the workforce here in Oregon, and only 3% nationally.

Established in 1989, Oregon Tradeswomen is a Portland-based, 501c3 non-profit organization, which provides technical assistance as well as quality apprenticeship readiness training to help industry partners in the skilled trades, including registered apprenticeship programs and employers to help them foster access, training and advancement for low-income women and women of color into apprenticeships and nontraditional employment across the Pacific Northwest.

While regionally focused, Oregon Tradeswoman is a nationally recognized leader in aligning the needs all stakeholders in the workforce development system, including RA programs, employer groups, and government workforce agencies with a focus on creating access, opportunity, and equity for women. Our apprenticeship-readiness training program has a successful track record in placement of 87% in registered apprenticeship and employment in the construction industry, serving women largely from the Portland Metro region, but working with the Laborer's registered apprenticeship to expand training to rural communities where there are not existing training opportunities currently available.

Over the past dozen years, we have received several grants from the DOL's Women in Apprenticeship and Non-Traditional Occupations (WANTO) grants in providing technical assistance to contractors and apprenticeship programs seeking to hire women and minorities, as well as preparing diverse women to enter the trades.

Oregon Tradeswomen has a long and successful history in partnering with the Laborer's registered apprenticeship program to provide trades-specific training to women. Our collective commitment to advancing the goal of increased diversity and inclusiveness within the registered apprenticeship system, and preparing jobseekers, including those with barriers, to full employment and career pathways lends naturally to the goals of the state agencies. To that end, Oregon Tradeswomen will contribute our extensive expertise, experience, industry relationships, and resources to support the diversity, equity, and inclusion goals.

We will do this through:

- offering resources and best practices for outreach and recruitment of women and people of color
- supporting the recruitment and placement goals of the Laborers for women and people of color
- providing training on respectful workplaces to increase retention of women and people of color
- providing pre-apprenticeship support to increase the successful placement of women and people of color

To this end, Oregon Tradeswomen will bring its organizational mission to bear and act as a voice for enhanced inclusiveness of women and minorities in registered apprenticeship.

Sincerely,

*Kelly M. Kupcak*

Kelly Kupcak, Executive Director



# Pacific NW Carpenters Institute

Premier Training Center for Oregon, SW Washington and Idaho

April 20, 2021

Karen Humelbaugh, Director, Office of Workforce Investments  
Higher Education Coordinating Commission  
3225 25<sup>th</sup> St. SE  
Salem, OR 97302

Dear Mrs. Humelbaugh,

I'm writing this letter to commit our support of Oregon's proposal for funding under the State Apprenticeship Expansion, Equity and Innovation Grant opportunity.

PNCI is excited to support HECC within our six Carpentry based construction occupations. As a leader in this industry, we are committed to changing the culture in construction. In 2016, our team developed the Positive Jobsite Culture training, which focuses on leadership, diversity, inclusion, unconscious bias, bullying, harassment, effective communication skills, mental health and stigma. We also developed our own in-house pre-apprenticeship program, geared towards recruiting and retaining a diverse workforce.

We would love the opportunity to take this successful, Portland-based, program and offer it to our rural areas for the first time. We can provide the training via our team of qualified journey-level experts and handle all of the logistics via our administrative staff. We can partner with local community-based organizations for our recruitment needs and partner with our Labor Associations and local Contractors to put these pre-apprenticeship graduates to work within our six successful carpentry-based apprenticeship programs.

As a Statewide program, we are fully aware of the lack of diversity in apprenticeship/construction outside of the Metro areas. We would like to change that by offering high-paying careers (*our journey-level rate is \$45 an hour*) with full benefits (*an additional \$18 an hour*) to individuals that either do not know about us or think they cannot do this work. And, we start by introducing them to our crafts and teaching them how to be successful in this physically demanding but rewarding industry via our pre-apprenticeship program.

Sincerely,

*Michael Hawes*

Michael Hawes  
Executive Director  
Pacific Northwest Carpenters Institute (PNCI)



TECHNOLOGY  
ASSOCIATION  
OF OREGON

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April 23, 2021

Karen Humelbaugh, Director, Office of Workforce Investments  
Higher Education Coordinating Commission  
3225 25<sup>th</sup> St. SE  
Salem, OR 97302

Dear Mrs. Humelbaugh,

I'm writing this letter to commit the Technology Association of Oregon's (TAO) support of Oregon's proposal for funding under the State Apprenticeship Expansion, Equity and Innovation Grant opportunity.

TAO is the force behind the regional tech industry--supporting entrepreneurs, connecting peers and decision makers, and helping establish the Northwest as a global hub for innovation. We work with over 500 tech and tech-enabled companies throughout Oregon, ranging in size from one-person startups to some of the largest tech companies in the world. We know that equitably building a diverse and inclusive workforce is key to growing our innovation economy. Apprenticeships provide career connected learning opportunities as well as on the job training for employees in both tech and tech enabled companies to expand a digitally literate and savvy workforce.

While TAO will support the technology career focus area, we are able to support other traded sectors going through the digitization process. Our broad understanding of technical roles allows us to support healthcare, education and manufacturing as these industries undergo a digital transformation and hire technology focused employees. TAO will provide staff time to develop career pathways, facilitate introductions to industry partners for hiring apprentices and advocate for policies that support a thriving innovation ecosystem. Additionally, TAO staff time will be used for outreach to traditionally underrepresented communities in technology throughout the state including women, rural, veterans, LGBTQIA+, differently abled and BIPOC individuals.

TAO's commitment will solve the challenge of getting technically astute working professionals into non-technology industries as well as doing that in a thoughtful way to include a diverse population of workers. The goal would be to recruit and employ apprentices that mirror the demographics of the state. With a focus on including underrepresented groups, high paying and technology savvy jobs go to historically excluded individuals making them a part of our inclusive innovation ecosystem.

It is our pleasure to support Oregon's proposal for funding under the State Apprenticeship Expansion, Equity and Innovation Grant opportunity as it aligns with our core purpose and vision.

Sincerely,

A handwritten signature in grey ink that reads "Cara Turano". The signature is written in a cursive, flowing style.

Cara Turano,  
COO, Technology Association of Oregon (TAO)



April 22, 2021

Karen Humelbaugh, Director, Office of Workforce Investments  
Higher Education Coordinating Commission  
3225 25<sup>th</sup> St. SE  
Salem, OR 97302

Dear Ms. Humelbaugh,

I am writing this letter to commit our support of Oregon's proposal for funding under the State Apprenticeship Expansion, Equity, and Innovation Grant opportunity. The purpose of this grant is to help improve employment outcomes for Oregonians through the expansion of Registered Apprenticeship Programs (RAPs) in the wake of COVID-19, especially individuals from underrepresented and under-served communities.

This grant proposal will expand RAPs into non-traditional fields like peer support specialist, Certified Alcohol & Drug Counselor and Mental Health Counselor, which is a growing strategic economic sector in Oregon. Successfully developing apprenticeship programs in these high-growth, high-demand sectors are not only an innovative way to develop Oregon's workforce, but also vital component in the state's continued efforts to diversify its workforce and its economy.

As an organization that provides strategic leadership for workforce development activities in Benton, Clatsop, Columbia, Lincoln, and Tillamook counties, we have a vested interest in ensuring Oregonians possess the knowledge, skills, and abilities to succeed in the jobs of the future. We commit to fully supporting this endeavor to ensure our state comes out of COVID-19 stronger than ever.

Sincerely,

A handwritten signature in blue ink that reads "Heather DeSart".

Heather DeSart  
Executive Director



Corporate Office:/Mail: 65 North Highway 101, Suite 204, Warrenton, OR 97146  
Phone (503) 325-5722 Fax (503) 861-2043

April 22, 2021

Karen Humelbaugh, Director, Office of Workforce Investments  
Higher Education Coordinating Commission  
3225 25<sup>th</sup> St. SE  
Salem, OR 97302

Dear Mrs. Humelbaugh,

I'm writing this letter to commit our support of Oregon's proposal for funding under the State Apprenticeship Expansion, Equity and Innovation Grant opportunity.

Clatsop Behavioral Healthcare (CBH) has had the fortunate opportunity to get involved in the HOWTO grant by sitting on the Joint Apprenticeship and Training Committee and also making a recommendation of an internal employee to apprenticeship. We are committed as an organization to provide candidates an opportunity of support and growth to become certified as peer recovery mentors, Certified Alcohol and Drug Counselors, as well as Mental Health Clinicians.

Clatsop county has underserved populations and programs such as these benefit the community. As our community has become more diverse, the focus of CBH has been to create a greater diversity in our employee base. We will have the ability to reach more clients as those in our community needing service see the diversity and connections they can make due to this program. Because we are a community with housing challenges, keeping our employees is of great importance so offering the apprenticeship program to qualified employees will assist us in keeping valuable employees, which results in providing improved care to community members in need, resulting in a healthier community.

Clatsop Behavioral Healthcare has a goal of providing service to anyone in the county with a need, which means we must look at the barriers present. Having bilingual/bicultural employees knocks down a barrier and better serves the community.

Thank you for your time,

A handwritten signature in black ink, appearing to read "Amy Baker". The signature is fluid and cursive, written over a white background.

Amy Baker  
Executive Director  
Clatsop Behavioral Healthcare

*CBH is dedicated to improving the quality of life for people whose lives are affected by mental health, addictions and developmental disabilities.*

North Coast Crisis Respite Center  
Physical Address: 326 S Marlin Avenue  
Warrenton, OR 97146 Warrenton, OR 97146  
Phone (503) 325-5722 Fax (503) 861-5649

Medication Assisted Treatment  
Physical: 65 North Highway 101, Suite 208  
Warrenton, OR 97146  
Phone (503) 325-5722 Fax (503) 861-0807

Developmental Disability Program  
Physical: 65 North Highway 101, Suite 210  
Warrenton, OR 97146  
Phone (503) 325-5722 Fax (503) 861-8446



*April 21, 2021*

Karen Humelbaugh, Director, Office of Workforce Investments  
Higher Education Coordinating Commission  
3225 25<sup>th</sup> St. SE  
Salem, OR 97302

***RE: Statement of Commitment***

Dear Mrs. Humelbaugh,

I'm writing this letter to commit our support of Oregon's proposal for funding under the State Apprenticeship Expansion, Equity and Innovation Grant opportunity. Oregon AFSCME will focus on the QMHA Registered Apprenticeship.

There are virtually no behavioral health apprenticeships in the United States. There is an incredible workforce need which has become more acute since the COVID-19 pandemic began. Turnover in the industry is incredibly high due to the difficulty of the work, strained working conditions due to workforce shortages, and lack of clear professional advancement opportunities for entry level workers. Most roles in the behavioral health industry require a Bachelor's Degree, or an advanced degree beyond that. QMHA is one of very few clinical, certified roles in the industry that can be achieved without such degrees. This apprenticeship program will help improve all of these trends by creating a highly accessible, supported path that allows for a standard path toward entry in the field.

Our organization will build and maintain the JATC for this apprenticeship, bringing robust equal participation journey-person and employer participation in governance, RAP design, implementation, and oversight. We will nurture the development of an independent training trust which will focus on preparing apprentices in the behavioral health industry.

We will utilize our existing employer relationships to effectively draw upon existing employer-based training offerings as well as AFSCME Free College courses. We will also pursue MHACBO certification for our own curricula, which will be utilized in the program. For the QMHA RAP, we expect this will lead to a clear, non-degree track that all apprentices will be able to use. We will work with each apprentice to help them access the right mix of courses for their individual situation, and help each apprentice access supportive services as needed.



Our organization will partner with employers, local union leaders, local workforce board staff, and community organizations to recruit apprentices. We will also recruit and engage journey-person mentors. We will work with employer partners to place not-yet employed apprentices with supporting employers, and we will work collaboratively with employers to negotiate scheduling changes to best facilitate efficient delivery of training hours, and clinical supervision.

Our organization has existing resources that will be utilized by the Registered Apprenticeship: database system; call center; meeting and conference rooms in multiple locations in the state, as well as virtually; office equipment; and staff to support these resources.

Sincerely,

A handwritten signature in black ink, appearing to read 'Stacy Chamberlain', with a stylized flourish at the end.

Stacy Chamberlain  
Executive Director

### Oregon HECC Past Performance Chart

<b>Name of Previous Grantor Organization</b>		Department of Labor, Employment and Training Administration		
<b>Grantor Contact</b>		Tarah Holt <a href="mailto:Holt.tarah@dol.gov">Holt.tarah@dol.gov</a> 415-625-7928		
<b>Project Title and Grant Number</b>		American Apprenticeship Initiative/State Apprenticeship Expansion AP-30085-16-60-A-41		
<b>Project Period of Performance</b>		November 1, 2016-April 30, 2021		
<b>Total Number of Participants Enrolled</b>		516		
<b>Population Served</b>		Women, individuals that are justice involved, low income individuals, etc.		
<b>Performance Goals as of 9/30/20</b>				
<b>Metric</b>	<b>Performance Indicator (Goal)</b>	<b>Performance Outcome</b>	<b>Performance Outcome/Performance Goal</b>	<b>Percentage Rate of Actual Achievement</b>
<b>Total Number of Participants served (includes pre-apprentices)</b>	380	516	516/380	147%
<b>Total Number of Pre-Apprentices Served</b>	256	453	453/256	176%
<b>Total number of individuals who enrolled in RAPs</b>	125	63	63/125	50%
<b>Total number of new registered apprenticeship programs developed</b>	2	2	2/2	100%
<b>Spending Rate Analysis</b>				
<b>Grant Funds Received</b>	<b>Grant Funds Spent *(as of 9/30/20)</b>	<b>Total Spent/Total Grant Funds</b>		<b>Percentage Rate of Spending</b>
\$3,316,650	\$2,365,544.26	\$3,316,650/\$2,365,544.26		71%
<b>Cost Per Positive Outcome: \$3,077.54</b>				

Total funding spent directly on participants/the number of individuals who successfully completed training

Total spent directly on participants: \$1,588,011

Total number of participants successfully completing training: 516

\*please note that due to COVID-19, a number of projects were put on hold and Oregon received an extension on this grant to April 30, 2021. Since then, more grant funds have been spent down.



KATE BROWN  
Governor

April 6, 2021

Brinda Ruggles, Grant Officer  
U.S. Department of Labor, Employment & Training Administration  
Office of Grants Management  
200 Constitution Ave, NW  
Room N-4716  
Washington, D.C. 20210

Dear Ms. Ruggles,

In Oregon, we are committed to developing a thriving statewide economy and supporting strategies that will help Oregonians connect to a career path and living-wage jobs. On March 23, 2021, I released a 10-Point Economic Recovery Plan that provides a framework for economic recovery with a specific focus on strategic investments for Black, Indigenous, Latino, Latina, Latinx, Asian, Pacific Islander, Tribal, and communities of color. The work proposed under this grant opportunity aligns with several principles in the framework including: investing in Oregon's hardest hit workers, supporting Oregon's workforce, creating opportunities for Oregonians, and investing in Oregon's infrastructure. I have also formed the Racial Justice Council, which is charged with developing a Racial Justice Action Plan that includes economic opportunity and education recovery. There are tangible connections between these initiatives and the expansion of apprenticeship.

Oregon will focus this grant opportunity on expanding and creating registered apprenticeship programs in the information technology, healthcare, early childhood education and care, construction, and advanced manufacturing industries. In doing so, Oregon proposes to create innovative solutions to expand apprenticeship as well as develop better connections between education and workforce partners. The Higher Education Coordinating Commission (HECC) is leading this effort and will incorporate the HECC equity lens throughout the planning and implementation of this grant.

Expanding apprenticeship opportunities in Oregon is a joint effort, bringing many state and local agencies together to reach a common goal. While the HECC is designated to receive the funds, they will work closely with the Apprenticeship and Training Division within the Oregon Bureau of Labor and Industries to carry out the grant goals.

Brinda Ruggles  
April 6, 2021  
Page 2

Apprenticeship is a proven workforce solution and I'm excited by the possibility of bringing more resources into Oregon. Thank you for your partnership and this opportunity to expand our work together.

Sincerely,

A handwritten signature in black ink that reads "Kate Brown" with a long horizontal flourish extending to the right.

Governor Kate Brown

KB:jb