



Award# 25A60AP000125-01-00

FAIN# 25A60AP000125

Federal Award Date: 06/25/2025

## Recipient Information

### 1. Recipient Name

HIGHER EDUCATION COORDINATING  
COMMISSION  
3225 25TH St SE  
Salem, OR 97302-1133  
971-345-1138

### 2. Congressional District of Recipient

06

### 3. Payment System Identifier (ID)

1371737848A1

### 4. Employer Identification Number (EIN)

371737848

### 5. Data Universal Numbering System (DUNS)

079806658

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

EP99SZE353U6

### 7. Project Director or Principal Investigator

Debra Welter  
Education and Workforce Policy Liaison  
Debra.A.Welter@HECC.oregon.gov  
971-345-1135

### 8. Authorized Official

Julia Steinberger  
Director Office of Workforce Investment  
Julia.Steinberger@HECC.oregon.gov  
971-345-1136

## Federal Agency Information

ETA Office of Grants Management

### 9. Awarding Agency Contact Information

Ms. Daniela Petchik  
Grants Management Specialist  
Petchik.Daniela.M@dol.gov  
0000000000

### 10. Program Official Contact Information

Mr. Joshua E Hodges  
Federal Project Officer  
U.S. DOL, ETA Region 6  
hodges.joshua@dol.gov  
4156257946

## Federal Award Information

### 11. Award Number

25A60AP000125-01-00

### 12. Unique Federal Award Identification Number (FAIN)

25A60AP000125

### 13. Statutory Authority

National Apprenticeship Act, As Amended

### 14. Federal Award Project Title

Advancing Educational Success Through Apprenticeship Signed 424 attached

### 15. Assistance Listing Number

17.285

### 16. Assistance Listing Program Title

Apprenticeship USA Grants

### 17. Award Action Type

New

### 18. Is the Award R&D?

No

## Summary Federal Award Financial Information

19. Budget Period Start Date 07/01/2025 - End Date 06/30/2028

20. Total Amount of Federal Funds Obligated by this Action \$4,990,464.00

20a. Direct Cost Amount \$4,975,760.00

20b. Indirect Cost Amount \$14,704.00

21. Authorized Carryover \$0.00

22. Offset \$0.00

23. Total Amount of Federal Funds Obligated this budget period \$0.00

24. Total Approved Cost Sharing or Matching, where applicable \$0.00

25. Total Federal and Non-Federal Approved this Budget Period \$4,990,464.00

26. Period of Performance Start Date 07/01/2025 - End Date 06/30/2028

27. Total Amount of the Federal Award including Approved  
Cost Sharing or Matching this Period of Performance \$4,990,464.00

### 28. Authorized Treatment of Program Income

ADDITIONAL COSTS

### 29. Grants Management Officer - Signature

Mrs. Brinda Ruggles  
Grant Officer

## 30. Remarks

See Remarks (continuation)



## Department of Labor

## Notice of Award

Award# 25A60AP000125-01-00

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3225 25TH St SE  
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06

#### Payment Account Number and Type

1371737848A1

#### Employer Identification Number (EIN) Data

371737848

#### Universal Numbering System (DUNS)

079806658

#### Recipient's Unique Entity Identifier (UEI)

EP99SZE353U6

#### 31. Assistance Type

Discretionary Grant

#### 32. Type of Award

Other

### 33. Approved Budget

(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only

II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	\$91,135.00
b. Fringe Benefits	\$52,500.00
c. Total Personnel Costs	\$143,635.00
d. Equipment	\$0.00
e. Supplies	\$4,500.00
f. Travel	\$1,425.00
g. Construction	\$0.00
h. Other	\$1,200.00
i. Contractual	\$4,825,000.00
j. TOTAL DIRECT COSTS	\$4,975,760.00
k. INDIRECT COSTS	\$14,704.00
l. TOTAL APPROVED BUDGET	\$4,990,464.00
m. Federal Share	\$4,990,464.00
n. Non-Federal Share	\$0.00

### 34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
0501742425BD202501740024245AP001A0000AATELSAATELS	AP000125YX1	ETA	410023	17.285	\$4,990,464.00	01742425BD



## Department of Labor

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### Remarks (Continuation)

The SF-424A and Budget Narrative submitted reflect different totals for cost categories. The cost category totals in the Budget Narrative must reflect the totals listed in the SF-424A categories. Specifically, the following area(s) will need to be addressed:

- Under Fringe, the SF-424A lists \$52,500, whereas the Budget Narrative lists \$49,100
- Under Contractual, the SF-424A lists \$4,825,000, whereas the Budget Narrative lists \$4,828,400

The recipient must work with the FPO to submit a Budget Narrative whose totals align with the corresponding category in the SF-424A. The Budget Narrative and SF-424A must reflect the same costs for each cost category.

## **AWARD ATTACHMENTS**

HIGHER EDUCATION COORDINATING COMMISSION

25A60AP000125-01-00

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1. Oregon Higher Ed Commission\_TERMS AND CONDITIONS



## Remarks (Continuation)

### Executive Order Alignment

You must review your grant award in its entirety to confirm that it fully complies with Executive Orders “Ending Radical and Wasteful Government DEI Programs and Preferencing” and “Ending Illegal Discrimination and Restoring Merit-Based Opportunity” (recipients are not required to comply with the certification provision in sec. 3(b)(iv) of this EO). Any activities and expenditures that do not align with these Executive Orders must be removed by amendment to your grant agreement. You must submit revised materials within 45 days to your Federal Project Officer for whom the name and contact information can be located on the first page of the Notice of Award in field #10.

### Funds Management – Payment Management System (PMS)

Pursuant to Executive Order 14222 – “Implementing the President’s ‘Department of Government Efficiency’ Cost Efficiency Initiative,” Federal agencies are required to record every payment issued by the agency pursuant to each of the agency’s covered contracts and grants, along with a brief, written justification for each payment. PMS now has a “justification” field wherein grant recipients must identify the purpose for the Federal funds being drawn down. The justification is mandatory, and PMS will not accept a payment request if a justification is not provided.

### Harassment Prohibited

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

1. Unwelcome sexual advances, requests for sexual favors, or offensive remarks about a person's race, color, religion, sex, national origin, age, disability, political affiliation or belief, or citizenship or participation, and other unwelcome verbal or physical conduct based on one or more of these protected categories constitutes unlawful harassment on that basis(es) when:
  - i. Submission to such conduct is made either explicitly or implicitly a term or condition of accessing the aid, benefit, service, or training of, or employment in the administration of or in connection with, any WIOA title I-financially assisted program or activity; or
  - ii. Submission to, or rejection of, such conduct by an individual is used as the basis for limiting that individual's access to any aid, benefit, service, training, employment from, or employment in the administration of or in connection with, any WIOA Title I-financially assisted program or activity; or

- iii. Such conduct has the purpose or effect of unreasonably interfering with an individual's participation in a WIOA Title I-financially assisted program or activity creating an intimidating, hostile, or offensive program environment.
- 2. Harassment because of sex includes harassment based on gender identity or sexual orientation; harassment based on failure to comport with sex stereotypes; and harassment based on pregnancy, childbirth, and related medical conditions. Sex-based harassment may include harassment that is not sexual in nature but that is because of sex or where one sex is targeted for the harassment.

**State Apprenticeship Expansion Formula (SAEF3)**  
**Competitive Funding**  
**Oregon Higher Education Coordinating Commission**  
**GRANT # AP000125**  
**Conditions of Award**

As part of the Condition(s) of Award to receiving the State Apprenticeship Expansion Formula (SAEF3) 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 grant amendment.

A response to all Conditions of Award must be submitted to your FPO within 45 days of receipt of this grant award package. Please note that submittal of the required document(s) does not constitute approval by DOL/ETA. A grant amendment 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 an amendment to the grant agreement. Once approved, the revised document(s) will comprise the official amendment 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 expires on June 30, 2025. The recipient must submit its current Negotiated Indirect Cost Rate Proposal (NICRA) or Federally approved Cost Allocation Plan CAP.

**Condition 2 – Budget Narrative Clarification (Cost Principles/Valuation)**

The Budget Narrative must include enough details of all expenditures to demonstrate their valuations and adherence to the Uniform Guidance Cost Principles. Specifically, the budget narrative must clarify the following:

- **The Budget Narrative does not include sufficient information to regarding the activities and costs of each Competitive RFP.**

The recipient must submit a revised budget:

- An SF-424A whose totals align with any revised subtotals indicated on the revised budget narrative, including any claimed indirect costs.
- A budget narrative which addresses and breaks down the entirety of each line reflected on the SF-424A as outlined above. The budget narrative must contain costs per entry in each category which add up to the indicated line-item total with enough information to ascertain valuations and adherence with the Cost Principles.

**FOA Program Compliance Notification Letter  
State Apprenticeship Expansion Formula,  
Round 3 Grants (FOA-ETA-25-31)**

Greetings State Apprenticeship Expansion Formula (SAEF3) Grantee:

Congratulations on your award! This letter serves as notification of program compliance requirements for your State Apprenticeship Expansion Formula, Round 3 Grant **(FOA-ETA-25-31)** also referred to as **“SAEF3”**. The contents of this letter include performance measure outcome compliance items to be addressed (if applicable) and directs grantees on how to ensure adherence to these requirements. Please note, individual program findings from your grant application are not contained in this document. 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.

The Program Compliance Notification Letter provides information on the following:

- Key required activities that grantees must ensure are incorporated into their grant.
- Key activities or costs that are allowable use of grant funds.
- Grantee guidance on performance expectations and reporting mechanisms.
- Performance reporting compliance items to be addressed, if applicable; and
- Links to existing grantee guidance, such as Frequently Asked Questions (FAQs), Funding Opportunity Announcement (FOA), and administrative/financial trainings.

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

SAEF3 supports state-identified innovation, employer engagement in the creation and expansion of apprenticeships (including through sector strategies), and workforce system alignment by assisting new and emerging industries to establish Registered Apprenticeship Programs (RAPs), thereby contributing to a long-term workforce development strategy that promotes prosperity and long-term sustainability. Guidance provided on prior State Apprenticeship Expansion formula grants should not be construed as automatically applicable to this grant. All grant program staff and financial personnel should read the entire grant agreement upon award.

**Grant funds may only be used to support Registered Apprenticeship Programs (RAPs) and pre-apprenticeship programs that lead to RAPs.** Funding for this opportunity comes from the Consolidated Appropriations Act, 2024, Public Law 118-47, Division D, Title I. This appropriation allows the Department of Labor (the Department or DOL) to award funds to “expand opportunities through RAPs only registered under the National Apprenticeship Act.” This means recipients must spend these funds on activities that will create or assist in the creation of RAPs. This program will support the development of new, or the expansion of existing, RAPs, as described in 29 CFR Parts 29. Further, pre-apprenticeship programs funded through this grant must directly lead to RAPs during the grant period of performance. Pre-apprenticeship programs funded under this grant should ensure

that the skills and competencies being developed are aligned with industry needs. It is allowable and encouraged for pre-apprentice completers to receive grant-funded services in a RAP so they may be a grant participant. RAPs and pre-apprenticeships leading to RAP enrollment that are funded and developed under this grant program must align with the requirements provided under Program Design on pages 4-5 and Program Activities for grantees that receive competitive funding on pages 6-7 of the FOA and Amendment One.

- **Grantees must serve a statewide geographic scope.** The geographic scope is the physical service area in which awarded applicants will serve participants.
- **Eligible participants:** Eligible participants are persons 16 years of age and older who receive a direct grant-funded service. These funds are to support new apprentices, individuals interested in entering a RAP, individuals in pre-apprenticeship programs leading to enrollment in a RAP, retention of registered apprentices, and apprentices' completion of a RAP. To encourage active apprentices to stay in their program and increase retention, grant funds may be used for registered apprentices already enrolled in a RAP.
- **Any state agency or territory that is not designated as the State Apprenticeship Agency (SAA), but is operating within a federally recognized SAA, must partner with that SAA.**
- **Funding Requirements:** Grantees must ensure their grants include activities that address the SAEF3 program goals and incorporate the design elements of requirements for RAPs, and pre-apprenticeship programs (as applicable).

#### **Required Grant-funded Activities**

- **All grantees funded under the Base Formula Funding** will implement projects that include, at minimum, the following, activities listed below and encouraged activities as indicated in Appendix A of the FOA and Amendment One.
  1. Develop and implement a work plan. The plan must include a detailed description of activities the applicant plans to initiate, charting out quarterly milestones for the 36-month POP. The plan must include key expansion efforts and how funds will be spent down. Applicants will assess and revise, as necessary, their work plan in future rounds of funding for this grant, along with an updated Budget Narrative, and SF-424A. A suggested template for the work plan can be found in Appendix E.
    - a. The plan must show how funds will build on modernization and expansion efforts. States must take into consideration how they are growing the number of registered apprentices and RAPs in their State, how they can improve/streamline their internal Statewide registered apprenticeship processes (if applicable), how they can better utilize demographic and occupational data for informed decision-making, how they are promoting career progression into higher wages and economic security and mobility, and how the State can leverage technology and resources. Based on that plan and in addition to the required activities, States should select activities from the "Encouraged Activities" list that will further their mission.

- b. Build Statewide capacity to increase the number and quality of RAPs through stronger workforce system alignment. For the purposes of this FOA, workforce system alignment refers to the alignment of the workforce, education, and the National Apprenticeship System. System alignment should also focus on RAP and/or pre-apprenticeship program efforts in support of implementation and/or targeting in-demand industries and occupations.
  2. For States with recognized SAAs, implement data sharing, system change, and governance requirements to comply with 29 CFR Parts 29 and 30 and ensure a strong and modernized Registered Apprenticeship system by promoting the standardization of RAPs and committing to building a unified National Apprenticeship system. This includes the sharing of data and ensuring that quality programs are registered within the State and align with the five key areas of RAPs: OJL, RI, progressive wages, mentoring, and industry-recognized credential attainment to ensure reciprocity across the National Apprenticeship system.
  3. Utilize funding to support drafting of policies, procedures, and/or State regulations to streamline the registration process (if applicable) and improve the employer experience when engaging with the Registered Apprenticeship system, which may include policies, procedures, and/or regulations to establish a recognized SAA in states where the apprenticeship system is currently managed by DOL's Office of Apprenticeship (OA).
  4. Create or improve outreach materials and communication strategies for engaging employers, parents, educators, prospective participants, and other critical stakeholders; explaining the benefits of registered apprenticeship; and generating further support across the State.
- **Competitively awarded SAEF3 grantees** must expand upon the work plan for the Base Formula Funding option and implement a project that involves a minimum of two activities referenced below and available on page 6 of the FOA and Amendment One:
    1. Provide a range of training services that support individuals enrolled in a RAP, that may include Related Instruction reimbursement; OJL reimbursement; development of curricula and standards for apprenticeship; online and technology-based learning; accelerated and competency-based training that integrates academic and occupational skills training; and apprenticeship training costs and other supportive services. (See Section IV.E. Funding Restrictions for more information).
    2. Provide incentive funding to employers to support new or expand existing RAPs in targeted industries.
    3. Plan and implement a Pay-for-Performance (PFP) model, a payment model that provides financial incentives for meeting certain performance measures and outcomes. For more information, see Section IV.E. Funding Restrictions, "Use of Funds for Pay-for-Performance (PFP) Models."
    4. Establish statewide intermediaries or industry hubs to facilitate the adoption and expansion of RAPs, including but not limited to developing new occupations, providing technical assistance (TA), and adding employers.
    5. Expand RAP opportunities for youth (between the ages of 16 and 24). This may include:

- (a) providing direct funding for a range of pre-apprenticeship programs that lead to enrollment in a RAP, and (b) coordination with relevant stakeholders and partners (i.e., state and local education and workforce agencies, Community Based Organizations (CBOs), community colleges, Career and Technical Education (CTE) programs etc.) to establish new and expand existing partnerships that commit to develop RAPs and/or pre-apprenticeship programs that lead to RAP enrollment.
6. Assist industries in creating RAPs for entry level occupations that are critical to the nation and develop strong career pathways or incumbent worker strategies that encourage employees to stay and grow through upskilling and credential attainment.
  7. Promote innovation within RAPs to assist individuals with disabilities, such as increasing awareness and use of assistive technology and other new and emerging technology, as appropriate.
  8. Strategizing and implementing employer engagement methodologies to increase RAP adoption for in-demand industries and occupations within the State; conducting internal assessments as the basis of continuous improvement (i.e., improving time frame for registering new programs); reviewing registration policies and processes (as applicable) to identify and implement reforms to cut red tape and reduce barriers for employers and industries; and committing to data sharing, and governance requirements to comply with the law and ensure a strong and modernized Registered Apprenticeship system.
  9. For States that are not currently federally recognized SAAs, develop the required elements for recognition and basic requirement as described in 29 C.F.R. 29.13 that would allow a State to become a federally recognized SAA.
  10. Enhance integration with the state's workforce system under WIOA to support the recruitment of participants and employers into the apprenticeship system, improve policies to effectively utilize WIOA On-the-Job Training (OJT) contracts (20 C.F.R. 686.700) and Individual Training Accounts (ITAs) (20 C.F.R. 686.300) to reduce the costs of RAP participation for employers and apprentices, and improve awareness of the career and supportive services that are available through the workforce system to support apprentice retention and program completion.

#### **Allowable Use of Grant Funds**

- **Use of Grant Funds for Participant Wages:** Grant funds may not be used to directly pay wages for apprentices. Additional information is provided on pages 31 – 32 of the FOA.
- **Use of Grant Funds for Supportive Services:** While the Department encourages applicants to leverage supportive services through WIOA grant programs or other funding, when funds are not otherwise available, grant recipients may use up to 20 percent of grant funds to provide supportive services to individuals who are participating in pre-apprenticeship and registered apprenticeship activities provided through this grant. This includes individuals enrolled in RAPs that were developed using SAEF3 grant funds (i.e., reportable individuals), in which case these individuals would then become participants. See page 32 of the FOA and page 5 of Amendment One for additional information.
- **Use of grant funds for Incentives for Employers**  
Grantees may use up to 40 percent of grant funds to provide one-time “incentive” funds to new employers, joint labor management organizations, or industry associations (or

other partners included in a multi-employer partnerships) to directly fund new or expand existing RAPs and targeted industries in which they are serving. See page 33 of the FOA and Amendment One for additional information.

- **Use of Funds for Pay-for-Performance (PFP) Models**

Grantees that proposed PFP models may use grant funds to provide a sustainable approach that reward RAP sponsors for achieving specific milestones such as maintaining registered apprentice enrollment in the RAP and credential attainment of registered apprentices. See page 33 of the FOA and page 5 of Amendment One for additional information.

### **Serving Participants**

The term “participant” means an individual that is determined eligible by the SAEF3 grant program and receives a direct grant-funded service after a determination of eligibility during the grant period of performance. The following are explanations for “direct grant-funded service,” and “reportable individual:”

- A direct grant funded service could be OJL, RI, and Supportive Services (service(s) to complement OJL and RI).
- Individuals that enroll in a RAP that was developed with grant-funds and receives no grant-funded service is determined a “reportable individual,” who is someone that does not receive a direct grant-funded service.
- For the purposes of Apprenticeship Grants managed by OA, a “reportable individual” is 1) an individual that has been impacted by the development or expansion of a grant-funded registered apprenticeship program; and 2) is enrolled in a RAP; and 3) is at least 16 years old. This individual is enrolled in a RAP that was developed or expanded with grant funds and is, therefore, impacted by the grant, but does not receive a direct, grant-funded participant-level service. Individuals participating in a RAP, but do not receive a grant-funded service cannot be counted towards a grantee’s “participant” counts.
- As mentioned in the previous section, “Allowable Use of Grant Funds”, for SAEF3 grant recipients may leverage 20 percent of grant funds to provide supportive services to reportable individuals enrolled in pre-apprenticeship and registered apprenticeship, thereby triggering participation in the respective program.

If the grantee proposes to serve participants, then the grantee's budget (SF-424A) and budget narrative must detail the cost per participant. The cost per participant contains the use of those funds for Related Instruction (RI), On-the-job-learning (OJL), and/or Supportive Services (SS). Please confirm with your FPO how the cost per participant is broken down by RI, OJL, and/or SS.

### **Performance Reporting Requirements**

Grantees are required to adhere to the Office of Management and Budget (OMB)-approved performance reporting requirements. This includes submitting a Quarterly Performance Report (QPR) (ETA-9173-APPSHP) and Quarterly Narrative Report (QNR) (ETA- 9179) containing updates on the implementation and progress specified in the grant’s Statement of Work (SOW) 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 information collection (OMB Control No. 1205-0521), specifically the requirements identified for apprenticeship grants. To ensure alignment with the Department's data modernization and data governance initiatives through [TEGL 23-19, Change 1 and Change 2](#), DOL requires grant recipients to develop procedures for ensuring the data submitted for performance reporting are valid and reliable. To submit quarterly reports, the grantee will be expected to collect, track, and report participant-level data as outlined in the Participant Individual Record Layout (PIRL) (ETA-9172). This includes the collection and reporting of Social Security Numbers (SSNs) on all individuals who receive grant-funded services<sup>1</sup>. The collection and reporting of SSNs 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 the WIOA exit-based employment measures, while permitting consistent and reliable outcome information to be produced regarding the program.

- **Proposed Performance Target Outcomes:** Each grantee is accountable for reaching targets established in their work plan for the performance outcomes specified in the FOA. Failure to meet these 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. Further, any SAEF3 grantees that serve participants (even if they have not identified participant outcomes in their grant award) are required to report participant outcomes as part of quarterly performance reporting requirements.
- **Case Management System:** In addition to appropriate financial management 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. Before the first reporting due date, grantees must have a Workforce Integrated Performance System (WIPS) account. To request access to WIPS, your SAEF3 program's authorized representative must designate 1 – 3 person(s) who will be responsible for creating data files and then uploading them into WIPS. This responsibility also includes certifying the accuracy and the authenticity of the data submitted. The authorized representative must complete the [Apprenticeship Grants WIPS and AI Demographics Portal Designation Form](#) and upload it using the [WIPS Technical Assistance Request](#). The OA Program Office will also review WIPS access process in more detail during the first performance webinar.
- **Participation in Technical Assistance (TA)**  
Grant recipients are required to participate in all TA training activities related to grantee orientation, financial management and reporting, performance reporting, product dissemination, and other technical assistance and training as appropriate during the grant period.

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<sup>1</sup> Grant recipients who are also aligned with their State workforce system and have access to the State Unemployment Insurance (UI) Agency are not obligated to report SSNs to DOL; however, they must report wage and employment outcomes via the PIRL. Otherwise, State grant recipients must collect and report SSNs via the PIRL, allowing DOL to conduct wage-matches to obtain this outcome data.

REFERENCES		
Consolidated Compliance References	Resource Link	Overview/ Description
FOA-ETA-25-31	<a href="#">State Apprenticeship Expansion Formula 3 FOA-ETA-25-31.pdf</a>	The Funding Opportunity Announcement for the SAEF3 grant and Amendment 1 document
Registered Apprenticeship Regulations	<a href="#">SAEF3 FOA-ETA-25-31 Amendment-One.pdf</a> <a href="https://www.ecfr.gov/current/title-29/subtitle-A/part-29">https://www.ecfr.gov/current/title-29/subtitle-A/part-29</a>	29 C.F.R. § 29 outlines the elements of a registered apprenticeship program.
Frequently Asked Questions for FOA ETA 25-31	<a href="#">SAEF3 FAQs</a>	The Department has posted updated SAEF3 FOA FAQs online.
Grantee Handbook	<a href="#">ETA Grantee Handbook.pdf</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.
2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards	<a href="#">2 CFR 200 - UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS - Content Details - CFR-2023- title2-vol1-part200 (govinfo.gov)</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
2 CFR 2900 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards:	<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>	<u><a href="#">Reporting Requirements   U.S. Department of Labor</a></u>	Apprenticeship Performance and Reporting Resources Workforce Integrated Performance System (WIPS)
<b>Financial Reporting</b>	<u><a href="#">WorkforceGPS - Grants Application and Management Community Homepage</a></u>	OGM Financial Links. Provides access to the financial reporting system, and payment management system (PMS) for learning opportunities.
	<u><a href="https://usdolevents.webex.com/usdolevents/ldr.php?RCID=1307da1718987e5d9edca37b46fa1550">https://usdolevents.webex.com/usdolevents/ldr.php?RCID=1307da1718987e5d9edca37b46fa1550</a></u>	PMS Mandatory Payment Justification - Grant Recipient Training Webinar

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

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## **PART A: GENERAL AWARD, SYSTEM FOR AWARD MANAGEMENT AND UNIFORM GUIDANCE**

### **A(1.) Applicable Requirements**

The recipient of this Federal award must assure to fully comply with the rules and requirements specified in the award document. Program requirements may be located in the Funding Opportunity Announcement (FOA), statutes, Executive Orders, government-wide regulations, agency regulations, agency policy guidance such as Training Employment Guidance Letter (TEGL), and the terms outlined in the award document.

The following authorities apply to your activities under this Federal award. It is recommended that the award recipient contact DOL when questions arise about what requirements apply in the event of any inconsistency between the terms and conditions of this Notice of Award (NOA) and other requirements.

- National Apprenticeship Act
- Other applicable Federal statutes.
- Further Consolidated Appropriations Act, 2024 (Public Law 118-47), dated March 23, 2024.
- Implementing Regulations.
- Executive Orders and Presidential Memoranda.
- The Office of Management and Budget (OMB) Guidance, including the Uniform Guidance at 2 CFR part 200, as amended (see *Guidance for Federal Financial Assistance*, 89 Fed. Reg. 30046 (Apr. 22, 2024)) and DOL regulations at part 2900.\*
- Executive Orders and Presidential Memoranda.
- The U.S. Department of Labor (DOL) directives.
- Terms and conditions of this award.

\*Effective Dates – The 2024 revisions to the Uniform Guidance apply to all Federal grant awards issued on or after October 1, 2024, including any amendments to grant awards that result in the award of additional funds, or any incremental funding awarded by ETA on or after October 1, 2024 and have a period of performance beginning on or after October 1, 2024. Grant recipients with awards made before October 1, 2024, and that have a period of performance beginning prior to October 1, 2024, must continue to follow the Uniform Guidance revisions published in 2020. See TEGL 5-24.<sup>1</sup> for more information.

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<sup>1</sup> <https://www.dol.gov/agencies/eta/advisories/tegl-05-24>

By drawing down funds, your organization as the award recipient agrees to the provisions of 2 CFR 200.521, and 2 CFR Part 2900 and is subject to having its award removed as a result of an ALJ decision. As part of this process, the Grant Officer will provide instructions on transition and closeout to both the newly selected grant recipient and to the grant recipient whose position is affected, or which is being removed.

A(2.) Funding Opportunity Announcement and Notice of Award

The Funding Opportunity Announcement (FOA)

[https://www.dol.gov/sites/dolgov/files/ETA/grants/2025%20PDFs/State%20Apprenticeship%20Expansion%20Formula%203\\_FOA-ETA-25-31.pdf](https://www.dol.gov/sites/dolgov/files/ETA/grants/2025%20PDFs/State%20Apprenticeship%20Expansion%20Formula%203_FOA-ETA-25-31.pdf) and amendment found at <https://www.dol.gov/sites/dolgov/files/ETA/grants/2025%20PDFs/SAEF3%20FOA-ETA-25-31%20Amendment-One.pdf> are hereby incorporated into this NOA. Award recipients are bound by the authorizations, restrictions, and requirements contained in the FOA. Therefore, the expenditure of funds by the award recipient certifies that your organization has read and will comply with all the parts that are contained in the NOA.

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

A(3.) Approved Statement of Work

This project's narrative is the approved Statement of Work (SOW). It has been included as Attachment D. If there is any inconsistency between the project narrative and the program statute, appropriation, regulations, Executive Orders, Uniform Guidance, and DOL directives, contact your DOL representative.

A(4.) Federal Project Officer/ Program Official

The name and contact information of the Federal Project Officer (FPO) for this award is found on the first page of this Notice of Award in field #10.

This individual is your main point of contact with DOL. The individual 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 amendment process.



A(5.) System for Award Management (SAM.gov)

A SAM.gov registration is required for an entity to be able to apply for Federal awards, to request amendments to existing awards, and to enable them to closeout expiring awards. See Training and Employment Notice (TEN) 18-17<sup>2</sup> for additional guidance.

Unless exempt from this requirement under 2 CFR 25.110, the recipient must maintain a current and active registration in SAM.gov. The recipient's registration must always be current and active until the recipient submits all final reports required under this Federal award or receives the final payment, whichever is later. The recipient must review and update its information in SAM.gov at least annually from the date of its initial registration or any subsequent updates to ensure it is current, accurate, and complete. If applicable, this includes identifying the recipient's immediate and highest-level owner and subsidiaries and providing information about the recipient's predecessors who have received a Federal award or contract within the last three years.

Effective on April 4, 2022, the DUNS Number was replaced by a new, non-proprietary identifier requested in and assigned by SAM.gov<sup>3</sup>. This new identifier is called the Unique Entity Identifier (UEI), or the Entity ID. To learn more about how to access your UEI, please visit the U.S. General Service Administration (GSA), Unique Entity Identifier Update webpage<sup>4</sup>.

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

1. Must notify potential subrecipients that no entity may receive a subaward until the entity has provided its UEI to the recipient.
2. Must not make a subaward to an entity unless the entity has provided its UEI to the recipient. Subrecipients are not required to complete full registration in SAM.gov to obtain a UEI.

For the purposes of this award term:

*System for Award Management (SAM.gov)* is the Federal repository into which a recipient must provide the information required for the conduct of business as a recipient. Additional information about registration procedures may be found in SAM.gov (currently at <https://www.sam.gov>).

*Entity* is defined at 2 CFR 25.400 and includes all of the following types as defined in 2 CFR 200.1:

- (1) Non-Federal entity;
- (2) Foreign organization;

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<sup>2</sup> <https://www.dol.gov/agencies/eta/advisories/training-and-employment-notice-no-18-17>

<sup>3</sup> <https://sam.gov/>

<sup>4</sup> [https://www.fsd.gov/gsafsd\\_sp?id=kb\\_article\\_view&sysparm\\_article=KB0041254&sys\\_kb\\_id=875189f21bee8d54937fa64ce54bcbaa&spa=1](https://www.fsd.gov/gsafsd_sp?id=kb_article_view&sysparm_article=KB0041254&sys_kb_id=875189f21bee8d54937fa64ce54bcbaa&spa=1)

- (3) Foreign public entity;
- (4) Domestic for-profit organization; and
- (5) Federal agency.

*Subaward* has the meaning given in 2 CFR 200.1.

*Subrecipient* has the meaning given in 2 CFR 200.1.

DOL advises Federal financial assistance award recipients registered in SAM.gov to frequently review their registration information, particularly their financial information and points of contact. Assistance is available by contacting the Federal Service Desk at FSD.gov.<sup>5</sup>

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

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

A(6.) Profit

The recipient and subrecipients are prohibited from earning a profit resulting from the implementation of this award. As directed in 2 CFR 200.400(g), recipients and subrecipients may not earn or keep any profit resulting from Federal financial assistance unless explicitly authorized in the Federal award.

A(7.) Subawards

A *subaward* means an award provided by a pass-through entity to a subrecipient for the subrecipient to contribute to the goals and objectives of the project by carrying out part of a Federal award received by the pass-through entity. It does not include payments to a contractor, beneficiary, or participant. A subaward may be provided through any form of

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<sup>5</sup> [https://www.fsd.gov/gsafsd\\_sp](https://www.fsd.gov/gsafsd_sp)

legal agreement consistent with criteria in 2 CFR 200.331, including an agreement the pass-through entity considers a contract.

The provisions of the Terms and Conditions of this award must be applied to any subrecipient under this award. The recipient is responsible for ensuring that the Terms and Conditions and all other information required in 2 CFR 200.332(b) are in all subaward packages, and monitoring the subrecipient, including to ensure that the subrecipient complies with all applicable Federal statutes, regulations, and the Terms and Conditions of this award (2 CFR 200.101(b) and .332).

#### A(8.) Contracts

A *contract* means a legal instrument by which a recipient or subrecipient conducts procurement transactions under a Federal award. Additional guidance on distinguishing between a subrecipient and a contractor is provided in 2 CFR 200.331. When procuring contractors for goods and services, DOL/ETA recipients and subrecipients must follow the procurement requirements, including the requirement for full and open competition, found at 2 CFR 200.318 through 200.327 (except states and Indian tribes, which must follow 2 CFR 200.317).

#### A(9.) Technical Assistance, Resources, and Information

Additional resources, 508-compliant PowerPoints, training, and resources to assist the award recipient are located on the ETA Resources webpage<sup>6</sup> and the Grants Application and Management collection page on WorkforceGPS.org.<sup>7</sup> SMART training<sup>8</sup> is a technical assistance initiative sponsored by DOL/ETA to assist its award recipients and subrecipients in improving its program/project operations through effective grants management. Please take some time to review the training modules which are focused on:

Strategies for sound grant management that include:

Monitoring,  
Accountability,  
Risk mitigation and  
Transparency.

Questions regarding the content may be directed to [compliance.policy@dol.gov](mailto:compliance.policy@dol.gov).

#### A(10.) Evaluation, Data, and Implementation

Award recipients must cooperate during the implementation of a third-party evaluation. This means providing DOL/ETA or its authorized contractor with the appropriate data

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<sup>6</sup> <https://www.dol.gov/agencies/eta/grants/resources>

<sup>7</sup> <https://grantsapplicationandmanagement.workforcegps.org/>

<sup>8</sup> <https://bit.ly/DOL-SMART>

and access to program operating personnel and participants in a timely manner.

#### A(11.) Conflict of Interest

Recipients and subrecipients of federal assistance must have a written policy in place on conflicts of interest, including organizational conflicts of interest. The policy must include the process the recipient or subrecipient will take to identify, avoid, remove, and remedy conflicts of interest.

Federal assistance recipients must disclose in writing any real or potential conflict of interest to DOL. The disclosure must notify the Grant Officer through written letter or email and contain the appropriate grant number.

A conflict of interest occurs when an entity or individual's objectivity becomes impaired because there is a conflict between personal or self-serving interests and professional duties or responsibilities. Such a conflict occurs when an organization or individual has a vested interest, such as financial, status, knowledge, relationships, or reputation, which puts into question whether their actions, judgment, or decision-making can be unbiased. A conflict of interest can also arise when actions are taken or may appear to be taken by any entity involved in more than one role, such that the performance of that entity in one role affects its interest in its other role, thereby making it difficult for the entity to perform a grant process objectively and impartially.

A potential conflict of interest occurs when it is reasonably foreseeable that an entity or individual's objectivity could become impaired in the future due to a conflict between personal or self-serving interests and professional duties or responsibilities.

An organizational conflict of interest occurs when, because of relationships with a parent company, affiliate, or subsidiary organization, the recipient or subrecipient is unable or appears to be unable to be impartial in conducting a grant action involving a related organization. Such conflicts may be actual or potential.

DOL requires that recipients of Federal funds use them in the best interest of the award program and therefore grant decisions must be free of undisclosed conflicts of interest including those that are real or potential conflicts, whether individual or organizational. When there are disclosed conflicts of interest in grant decisions, the recipient must notify DOL and take remedial action to resolve or mitigate the conflict.

The signatory authority or authorized official identified on the SF-424 application further certifies through their signature on the SF-424 application that any potential conflict of interest has been identified to the appropriate Grant Officer.

## **PART B: INDIRECT COSTS, BUDGET, AND COST SHARE**

#### B(1.) Indirect Cost Rate and Cost Allocation Plan

An award recipient that is claiming indirect costs to a Federal award must have a

Negotiated Indirect Cost Rate Agreement (NICRA), Cost Allocation Plan (CAP), or elect to utilize the de minimis rate of 15% of modified total direct costs (MTDC). Indirect costs are costs incurred for a common or joint purpose that benefit more than one cost objective and are not readily assignable to one cost objective without specifically benefitting effort disproportionate to the results achieved. Direct costs, by contrast, can be identified specifically with a particular cost objective, such as a Federal award, or other internally or externally funded activity that can be directly assigned to such activities relatively easily with a high degree of accuracy. The association of costs with a Federal award determines whether costs are direct or indirect.

If the DOL serves as the Federal Cognizant Agency (FCA) for the award recipient, then the award recipient must work with DOL's Cost & Price Determination Division (CPDD), which has delegated authority to negotiate and issue a NICRA or CAP on behalf of the Federal Government. More information about the DOL's CPDD is available at DOL's Cost & Price Determination Division (CPDD) website<sup>9</sup> which provides guidelines to help develop indirect cost rates, links to the applicable cost principles, and contact information. The CPDD also has Frequently Asked Questions to provide general information about the indirect cost rate approval process and due dates for provisional and final indirect cost rate proposals.

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

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

<sup>9</sup> <https://www.dol.gov/agencies/oasam/centers-offices/office-of-the-senior-procurement-executive/cost-price-determination-division>

Option	NICRA or CAP
(2)	<p>The award recipient has elected to use the De Minimis Rate of 15% of Modified Total Direct Costs (MTDC). To avoid a serious inequity in the distribution of indirect cost, DOL defines MTDC as all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$50,000 of each subaward or subcontract (regardless of the period of performance of the subawards and subcontracts under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs, and the portion of each subaward or subcontract in excess of \$50,000.</p> <p>See 2 CFR 200.414(f) for more information on the use of the de minimis rate. Please be aware that incurred indirect-type costs (such as but not limited to top management salaries, financial oversight, human resources, payroll, personnel, auditing costs, accounting and legal, etc. used for the general oversight and administration of the organization) must not be classified as direct costs; these types of costs are recovered as part of charging the de minimis rate.</p> <p>To use de minimis, the award recipient must not have a current negotiated (including provisional) rate.</p> <p>A governmental department or agency that receives more than \$35 million in direct Federal funding must submit its indirect cost rate proposal to its cognizant agency for indirect costs in accordance with Appendix VII(D).</p> <p>De minimis may be used indefinitely. When applying the de minimis rate, costs must be consistently charged as either direct or indirect costs and may not be double charged or inconsistently charged as both. Once elected, the recipient or subrecipient must use the de minimis rate for all Federal awards until such time as the award recipient or subrecipient chooses to receive a negotiated rate.</p>

Option	NICRA or CAP
<u>  X  </u> (3)	<p>The award recipient has claimed indirect costs on the SF-424A; however, a NICRA or CAP approved by the FCA was not provided and the award recipient did not elect to utilize the de minimis rate of 15% of MTDC. An approved NICRA or CAP must be submitted to the Grant Officer, or the award recipient must elect to utilize the de minimis rate of 15% of MTDC to charge indirect costs to the Federal award.</p> <p><b>If the award recipient elects to utilize the de minimis rate of 15% of MTDC, the award recipient must notify the Grant Officer in writing.</b></p> <p><b>If the award recipient utilizes a NICRA or CAP, only the de minimis rate of 15% of MTDC will be released to support the indirect costs in the absence of a NICRA or CAP approved by the FCA.</b> 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 agreement.</p> <p>As the award recipient, an indirect cost rate proposal or CAP must be submitted to the FCA within 90 days of award. If the FCA for indirect costs is DOL, these documents should be submitted to the DOL's Cost &amp; Price Determination Division (CPDD). Otherwise, they should be submitted to the award recipient's FCA. Alternatively, the award recipient may request the de minimis rate if eligible (see section b. above). In addition, the recipient must notify the FPO that the documents have been submitted to the appropriate FCA.</p>
<u>      </u> (4)	<p>The award recipient elected to exclude indirect costs from the proposed budget. Administrative and clerical staff salaries should only be classified as direct costs if they meet the conditions specified in 2 CFR 200.413(c).</p> <p>If indirect costs are misclassified as direct costs, per the guidelines at 2 CFR 200.412 - 414, such costs may become disallowed through an audit or compliance review conducted by a Federal staff person. Please be aware that incurred indirect costs (such as but not limited to top management salaries, financial oversight, human resources, payroll, personnel, auditing costs, accounting and legal, etc. used for the general oversight and administration of the organization) must not be classified as direct costs; these types of costs are indirect costs. Only direct costs, as defined by the cost principles contained in the Uniform Guidance will be charged.</p>

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

All award recipients with an approved NICRA or de minimis rate must report indirect costs on their **FINAL** ETA-9130 Financial Report. If an award recipient has a NICRA and a CAP, only the indirect costs tied to the NICRA are reported on the FINAL ETA-

9130 Financial Report. The grant recipient may refer to the ETA-9130 Report<sup>10</sup> for additional guidance.

### B(3.) Budget - Approved

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

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

All period of performance extensions, including no-cost and one-time extensions, require 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.

Unless otherwise authorized in a grant award or cooperative agreement or subsequent modification, recipients must expend funds with the shortest period of availability first.

### B(4.) Budget Flexibility

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

Any request for a budget modification or non-competing extension of the final budget should be submitted to the Grant Officer, in writing, at least 30 days before the Period of Performance is scheduled to expire. Such requests usually are for a period of up to 12 months.

As directed in 2 CFR 200.308(i), for programs where the Federal share is over the Simplified Acquisition Threshold (SAT) (currently \$250,000), the transfer of funds among direct cost categories (for example, personnel, travel, and supplies) or programs, functions, and activities is restricted such that if the cumulative amount of a transfer

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<sup>10</sup> [https://www.dol.gov/sites/dolgov/files/ETA/grants/pdfs/ETA-9130\\_Financial\\_Reporting\\_Resources\\_updated\\_5.1.24.docx](https://www.dol.gov/sites/dolgov/files/ETA/grants/pdfs/ETA-9130_Financial_Reporting_Resources_updated_5.1.24.docx)



exceeds or is expected to exceed 10% of the total budget, including cost share, as last approved by the Federal agency, the award recipient must receive prior approval from the Grant Officer. Any changes within a specific cost category on the SF-424A do not require a grant modification unless the change results in a cumulative transfer among direct cost categories exceeding 10% of the total budget. It is recommended that the assigned Federal Project Officer or point of contact review any within-line changes to the award recipient's budget prior to implementation to ensure they do not require a modification.

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

**B(5.) Non-Federal Cost Sharing**

This award does not include a cost-sharing requirement.

**PART C: FUNDS MANAGEMENT**

**C(1.) Funds – Payment Management System (PMS)**

Upon receipt of a NOA, to draw funds from the U.S. Department of Health and Human Services (HHS) Payment Management System (PMS) (<https://pms.psc.gov/>), an active account must be established. To establish an account, award recipients must complete an SF-1199A and PMS Access form (shown as the PMS New User Access Request on the PMS website) (User Access). Federal award recipients do not need to complete these forms if they already have an account with PMS.

**C(2.) Funds - Return & Refunds**

DOL does not accept paper checks for any type of returned funds. For active grants, all return of funds are to be submitted electronically through the PMS operated by the HHS via the same method as a drawdown. For grants that have been canceled or are expired (typically older than five years), incoming payments, including returns and recoveries to DOL, must be made via the [Pay.gov](https://www.pay.gov/)<sup>11</sup> website.

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

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<sup>11</sup> <https://www.pay.gov/public/form/start/177233981>

## PART D: COSTS - LIMITATIONS, ITEMS, AND RESTRICTIONS

### D(1.) Consultants

For the purposes of this grant award, the Grant Officer has determined that fees paid to a consultant who provides services under a program shall be limited to \$815.00 a day (representing an eight-hour workday). Such costs must be reasonable, allocable, and allowable to the program. Any fees paid in excess of this amount cannot be paid without prior approval from the Grant Officer.

### D(2.) Equipment and Other Capital Assets

To purchase capital assets (including equipment), the award recipient must submit a request and receive **prior written approval** from the Grant Officer as defined in the Uniform Guidance at 2 CFR 200.1 and 200.439. A request to purchase capital assets (equipment) will be reviewed and approved in an amendment to the award.

See 2 CFR 200.1 for the definitions of capital expenditures, equipment, special purpose equipment, general purpose equipment, and capital assets.

The capital asset of equipment is defined as tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost that equals or exceeds the lesser of the capitalization level established by the recipient or subrecipient for financial statement purposes, or \$10,000.

Being awarded this grant ***does not*** automatically mean that the equipment specified in the approved budget or SOW is approved by the Grant Officer, 2 CFR Part 2900. The recipient must submit a detailed list describing the planned purchases to the FPO for review within 90 days of the NOA date. Recipients are strongly encouraged to submit requests to purchase equipment 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 will be rescinded.

*Disposition.* When equipment acquired under a Federal award is no longer needed for the original project, program, or for other activities currently or previously supported by a Federal agency, the recipient or subrecipient must request disposition instructions from the Federal agency or State if required by the terms and conditions of the Federal award. See 2 CFR 200.313(e).

D(3.) Pre-Award Costs

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

D(4.) Program Income

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

D(5.) Travel

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

D(6.) 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 Part 2900. All travel, both domestic and Grant Officer approved foreign travel, must comply with the Fly America Act (49 USC 40118), which states in part that any air transportation, regardless of price, must be performed by, or under a code-sharing arrangement with, a U.S. Flag air carrier if service provided by such carrier is available.

D(7.) Travel – Mileage Reimbursement Rates

Pursuant to 2 CFR 200.475(a), recipients and subrecipients may charge travel costs on an actual cost basis, on a per diem or mileage basis, or a combination of the two, provided the method used is applied to an entire trip and not to selected days of the trip. The method used must be consistent with those normally allowed in like circumstances in the recipient's or subrecipient's other activities and in accordance with the recipient's or subrecipient's established written travel reimbursement policies. In the absence of an established written policy regarding travel costs, the rates and amounts established under 5 U.S.C. 5701-11 ("Travel and Subsistence Expenses; Mileage Allowances"), by the

Administrator of General Services, or by the President (or their designee) pursuant to any provisions of such subchapter must apply to travel under Federal awards (48 CFR 31.205-46(a)). Mileage rates must be checked annually at GSA's Privately Owned Vehicle (POV) Mileage Reimbursement Rates webpage<sup>12</sup> to ensure compliance.

#### D(8.) Conferences and Conference Space

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

#### D(9.) 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<sup>13</sup> to see if a property is in compliance, or to find other information about the Act.

### PART E: REPORTING, AUDIT, AND CLOSEOUT

#### E(1.) Reports – Financial Reports

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

- 1) **Financial Reports.** All ETA award recipients are required to report financial data on the ETA-9130 Financial Report. Reporting quarter-end dates are March 31, June 30, September 30, and December 31. ETA-9130 reports are due no later than 45 calendar days after the end of each specified reporting quarter. Due to the configuration of the Payment Management System (PMS), the ETA-9130 financial report for the quarter ending March 31st is due on May 16th.

Quarter End Date	Quarterly ETA-9130 Due Date
March 31 <sup>st</sup>	May 16 <sup>th</sup>
June 30 <sup>th</sup>	August 15 <sup>th</sup>
September 30 <sup>th</sup>	November 15 <sup>th</sup>

<sup>12</sup><https://www.gsa.gov/travel/plan-a-trip/transportation-airfare-rates-pov-rates-etc/privately-owned-vehicle-pov-mileage-reimbursement?gsaredirect=mileage>

<sup>13</sup> <https://apps.usfa.fema.gov/hotel/>

December 31 <sup>st</sup>	February 15th
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A final financial report must be submitted no later than 120 calendar days after the quarter encompassing the award end date ends, or 120 calendar days after the completion of the quarter in which all funds have been expended, whichever comes first. For additional guidance on ETA's financial reporting, reference ETA-9130 Financial Reporting Resources.<sup>14</sup>

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

## E(2.) Reports – Narrative Progress Reports

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

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

The prime recipient is responsible for reporting quality subaward data to the Federal Funding Accountability and Transparency Act (FFATA) of 2006 Subaward Reporting System (FSRS) that is subsequently displayed on USAspending.gov. Federal award and subaward descriptions are critical to informing the public of Federal spending by providing the public with an understanding of the purpose of the Federal award provided to the recipient. Recipients should include descriptions of award-specific activities and avoid acronyms or Federal or agency-specific terminology.

<sup>14</sup> [https://www.dol.gov/sites/dolgov/files/ETA/grants/pdfs/ETA-9130\\_Financial\\_Reporting\\_Resources\\_updated\\_5.1.24.docx](https://www.dol.gov/sites/dolgov/files/ETA/grants/pdfs/ETA-9130_Financial_Reporting_Resources_updated_5.1.24.docx)

## I. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION

### (a) *Reporting of first-tier subawards —*

(1) *Applicability.* Unless the recipient is exempt as provided in paragraph (d) of this award term, the recipient must report each subaward that equals or exceeds \$30,000 in Federal funds for a subaward to an entity or Federal agency. The recipient must also report a subaward if a modification increases the Federal funding to an amount that equals or exceeds \$30,000. All reported subawards should reflect the total amount of the subaward.

#### (2) *Reporting Requirements.*

(i) The entity or Federal agency must report each subaward described in paragraph (a)(1) of this award term to the Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS) at <http://www.fsrs.gov>.

(ii) For subaward information, report no later than the end of the month following the month in which the subaward was issued. (For example, if the subaward was made on November 7, 2025, the subaward must be reported by no later than December 31, 2025).

### (b) *Reporting total compensation of recipient executives for entities —*

(1) *Applicability.* The recipient must report the total compensation for each of the recipient's five most highly compensated executives for the preceding completed fiscal year if:

(i) The total Federal funding authorized to date under this Federal award equals or exceeds \$30,000;

(ii) in the preceding fiscal year, the recipient received:

(A) 80 percent or more of the recipient's annual gross revenues from Federal procurement contracts (and subcontracts) and Federal awards (and subawards) subject to the Transparency Act; and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal awards (and subawards) subject to the Transparency Act; and,

(iii) The public does not have access to information about 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)).<sup>15</sup> or section 6104 of the Internal Revenue Code of 1986 after receiving this subaward. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

(2) *Reporting Requirements.* The recipient must report executive total compensation described in paragraph (b)(1) of this appendix:

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<sup>15</sup> <https://www.govinfo.gov/content/pkg/USCODE-2023-title15/pdf/USCODE-2023-title15-chap2B-sec78m.pdf>

- (i) As part of the recipient's registration profile at <https://www.sam.gov>.
- (ii) No later than the month following the month in which this Federal award is made, and annually after that. (For example, if this Federal award was made on November 7, 2025, the executive total compensation must be reported by no later than December 31, 2025.)

(c) *Reporting of total compensation of subrecipient executives—*

- (1) *Applicability.* Unless a first-tier subrecipient is exempt as provided in paragraph (d) of this appendix, the recipient must report the executive total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if:
  - (i) The total Federal funding authorized to date under the subaward equals or exceeds \$30,000;
  - (ii) In the subrecipient's preceding fiscal year, the subrecipient received:
    - (A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal awards (and subawards) subject to the Transparency Act; and,
    - (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal awards (and subawards) subject to the Transparency Act; and
  - (iii) The public does not have access to information about 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)).<sup>16</sup> or section 6104 of the Internal Revenue Code of 1986 after receiving this subaward. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)
- (2) *Reporting Requirements.* Subrecipients must report to the recipient their executive total compensation described in paragraph (c)(1) of this appendix. The recipient is required to submit this information to the Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS) at <http://www.fsrs.gov> no later than the end of the month following the month in which the subaward was made. (For example, if the subaward was made on November 7, 2025, the subaward must be reported by no later than December 31, 2025).

(d) *Exemptions.* (1) A recipient with gross income under \$300,000 in the previous tax year is exempt from the requirements to report:

- (i) Subawards, and
- (ii) The total compensation of the five most highly compensated executives of any subrecipient.

(e) *Definitions.*

For purposes of this award term:

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<sup>16</sup> <https://www.govinfo.gov/content/pkg/USCODE-2023-title15/pdf/USCODE-2023-title15-chap2B-sec78m.pdf>

*Entity* includes:

- (1) Whether for-profit or nonprofit:
  - (i) A corporation;
  - (ii) An association;
  - (iii) A partnership;
  - (iv) A limited liability company;
  - (v) A limited liability partnership;
  - (vi) A sole proprietorship;
  - (vii) Any other legal business entity;
  - (viii) Another grantee or contractor that is not excluded by subparagraph (2); and
  - (ix) Any State or locality;
- (2) Does not include:
  - (i) An individual recipient of Federal financial assistance; or
  - (ii) A Federal employee.

*Executive* means an officer, managing partner, or any other employee holding a management position.

*Subaward* has the meaning given in 2 CFR 200.1

*Subrecipient* has the meaning given in 2 CFR 200.1

*Total Compensation* means the cash and noncash dollar value an executive earns during an entity's preceding fiscal year. This includes all items of compensation as prescribed in 17 CFR 229.402(c)(2).

#### E(4.) Integrity and Performance Matters – FAPIIS

##### I. REPORTING OF MATTERS RELATED TO RECIPIENT INTEGRITY AND PERFORMANCE

###### (a) *General Reporting Requirement.*

- (1) If the total value of your active grants, cooperative agreements, and procurement contracts from all Federal agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then you as the recipient must ensure the information available in the responsibility/qualification records through the System for Award Management (*SAM.gov*), about civil, criminal, or administrative proceedings described in paragraph (b) of this award term is current and complete. This is a statutory requirement under section 872 of Public Law 110-417<sup>17</sup>, as amended (41 U.S.C.

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<sup>17</sup> <https://www.govinfo.gov/content/pkg/PLAW-110publ417/pdf/PLAW-110publ417.pdf>



2313)<sup>18</sup>. As required by section 3010 of Public Law 111-212<sup>19</sup>, all information posted in responsibility/qualification records in *SAM.gov* on or after April 15, 2011 (except past performance reviews required for Federal procurement contracts) will be publicly available.

(b) *Proceedings About Which You Must Report.*

- (1) You must submit the required information about each proceeding that—
- (i) Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government;
  - (ii) Reached its final disposition during the most recent five-year period; and
  - (iii) Is one of the following—
    - (A) A criminal proceeding that resulted in a conviction;
    - (B) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more;
    - (C) An administrative proceeding that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of \$5,000 or more or reimbursement, restitution, or damages in excess of \$100,000; or
    - (D) Any other criminal, civil, or administrative proceeding if—
      - (1) It could have led to an outcome described in paragraph (b)(1)(iii)(A) through (C);
      - (2) It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on your part; and
      - (3) The requirement in this award term to disclose information about the proceeding does not conflict with applicable laws and regulations.

(c) *Reporting Procedures.* Enter the required information in *SAM.gov* for each proceeding described in paragraph (b) of this award term. You do not need to submit the information a second time under grants and cooperative agreements that you received if you already provided the information in *SAM.gov* because you were required to do so under Federal procurement contracts that you were awarded.

(d) *Reporting Frequency.* During any period of time when you are subject to the requirement in paragraph (a) of this award term, you must report proceedings information in *SAM.gov* for the most recent five-year period, either to report new information about a proceeding that you have not reported previously or affirm that there is no new information to report. If you have Federal contract, grant, and cooperative agreement awards with a cumulative total value greater than \$10,000,000,

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<sup>18</sup> <https://www.govinfo.gov/content/pkg/USCODE-2023-title41/pdf/USCODE-2023-title41-subtitleI-divsnB-chap23-sec2313.pdf>

<sup>19</sup> <https://www.govinfo.gov/content/pkg/PLAW-111publ212/pdf/PLAW-111publ212.pdf>

you must disclose semiannually any information about the criminal, civil, and administrative proceedings.

(e) *Definitions.* For purposes of this award term—

*Administrative proceeding* means a non-judicial process that is adjudicatory in nature to make a determination of fault or liability (for example, Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level but only in connection with the performance of a Federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.

*Conviction* 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.

The total value of currently active grants, cooperative agreements, and procurement contracts includes the value of the Federal share already received plus any anticipated Federal share under those awards (such as continuation funding).

#### E(5.) Audits

Single (organization-wide) or program-specific audits must be performed in accordance with 2 CFR part 200, subpart F, the Audit Requirements of the Uniform Guidance. Non-federal entities (as defined in 2 CFR 200.1) that expend \$1,000,000 or more in a year from any Federal awards must have an audit conducted for that year in accordance with the requirements contained in subpart F. All other audit reports are submitted through the Federal Audit Clearinghouse.

The updated audit and major program determination thresholds of \$1,000,000 apply to grant recipient fiscal years beginning on or after October 1, 2024.

For fiscal years beginning before October 1, 2024, auditors must adhere to the version of the Uniform Guidance in effect prior to October 1 and must not apply any compliance requirements from the 2024 Uniform Guidance revisions.

For grant recipients who would like an extension on their audit report submission, they should first contact their assigned FPOs.

All submissions will need to be made through the new FAC (Federal Audit Clearinghouse).<sup>20</sup> hosted by GSA.

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<sup>20</sup> <https://www.fac.gov/>

#### E(6.) Closeout/Final Year Requirements

At the end of the grant period, the award recipient will be required to close the grant with the DOL. The grant award and cooperative agreement recipient will be notified approximately 15 days prior to the end of the period of performance that the closeout process will begin when the period of performance ends. See ETA's Grant Closeout webpage.<sup>21</sup> for further information on the closeout process. The recipient's responsibilities at closeout may be found at 2 CFR 200.344.<sup>22</sup> During the closeout process, the award recipient must be able to provide documentation for all direct and indirect costs that are incurred. For instance, if an organization is claiming indirect costs, the required documentation is a NICRA or CAP issued by the award recipient's FCA. For those approved to utilize a de minimis rate for indirect costs, the grant agreement or cooperative agreement is sufficient documentation. Not having documentation for direct or indirect costs will result in costs being disallowed and subject to debt collection.

Administrative costs associated with the closeout activities of a Federal award (for example, salaries of personnel preparing final reports, publication and printing costs, costs associated with the disposition of equipment and property, and related indirect costs) are allowable through your NICRA, CAP, de minimis, or directly charged, as applicable, before the final Federal financial report is due (see 2 CFR 200.472(b)). Such costs cannot exceed any administrative cost limitation. The only liquidation that can occur during closeout is the liquidation of accrued expenditures (NOT financial obligations) for goods and/or services received during the period of performance specified in this award (see 2 CFR 2900).

#### E(7.) Termination

Per 2 CFR 200.340, the Federal award may be terminated in part or its entirety as follows:

1. By DOL, if the recipient fails to comply with the terms and conditions of the award;
2. By DOL with the consent of the recipient, in which case the two parties must agree upon the termination conditions, including the effective date and, in the case of partial termination, the portion to be terminated;
3. By the recipient upon sending to the Grant Officer written notification setting forth the reasons for such termination, the effective date, and, in the case of partial termination, the portion to be terminated. However, if DOL determines in the case of partial termination that the reduced or modified portion of the award will not accomplish the purposes for which the award was made, DOL may terminate the award in its entirety; or

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<sup>21</sup> <https://www.dol.gov/agencies/eta/grants/management/closeout>

<sup>22</sup> <https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-D/subject-group-ECFR682eb6fbabcde2/section-200.344>

4. By DOL, to the greatest extent authorized by law, if the award no longer effectuates the program goals or agency priorities;

When an award is terminated in part or its entirety, the recipient remains responsible for compliance with the closeout and post-closeout requirements in 2 CFR 200.344 and 200.345.

## **PART F: NATIONAL POLICY AND RESTRICTIONS**

### **F(1.) Architectural Barriers**

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

### **F(2.) Domestic Preferences for Procurements and the Build America, Buy America Act**

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

For purposes of the paragraph above:

- (1) “Produced in the United States” means, for iron and steel products, that all manufacturing processes, from the initial melting stage through the application of coatings, occurred in the United States.
- (2) “Manufactured products” means items and construction materials composed in whole or in part of non-ferrous metals such as aluminum; plastics and polymer-based products such as polyvinyl chloride pipe; aggregates such as concrete; glass, including optical fiber; and lumber.

[WIOA title I funds and Wagner-Peyser Act Employment Service funds]

These funds must be expended consistent with the requirements of 41 U.S.C. 8301-8303, commonly referred to as the Buy American Act (BAA). See WIOA section 502(a), 29 U.S.C. 3342(a). In the case of any equipment or product that may be authorized to be purchased with financial assistance provided using funds made available under WIOA title I or the Wagner-Peyser Act (29 U.S.C. 49 et seq.), it is the

sense of Congress that entities receiving the assistance should, in expending the assistance, purchase only American-made equipment and products.

[Non-WIOA title I and non-Wagner Peyser Act Employment Service funds for infrastructure projects]

On November 12, 2021, the Build America, Buy America Act (BABAA) was enacted (Public Law 117-58, title IX, subtitle A). For infrastructure projects as defined in section 70912 and 2 CFR 184.3 and 184.4(c) and (d), recipients and subrecipients of non-WIOA title I and non-Wagner Peyser Act Employment Service funds must comply with the requirements of the BABAA (see sections 70911-70917) and OMB's implementing guidance at 2 CFR part 184. Section 70914 of the BABAA provides that none of the funds made available for a Federal financial assistance program for infrastructure may be obligated for a project unless all of the iron, steel, manufactured products, and construction materials used in the project are produced in the United States. This domestic content procurement preference in BABAA section 70914 must be included in all subawards, contracts, and purchase orders for the work performed, or products supplied using these funds. The OMB guidance in part 184 is effective for awards made on or after October 23, 2023. For awards made between May 14, 2022, and October 22, 2023, recipients and subrecipients are subject to OMB Memorandum M-22-11.

#### F(3.) Drug-Free Workplace

The Drug-Free Workplace Act of 1988, 41 U.S.C. 702 *et seq.*, and 2 CFR 182 require that all award recipients receiving awards from any Federal agency maintain a drug-free workplace. The award recipient must notify the awarding office if an employee of the recipient is convicted of violating a criminal drug statute. Failure to comply with these requirements may be cause for suspension, termination, or debarment.

#### F(4.) Flood Insurance

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

#### F(5.) Intellectual Property Rights, Open Licensing Rights, and the Bayh-Dole Act

The Federal Government reserves a paid-up, nonexclusive and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use for Federal purposes: the copyright in all products developed under the grant, including a subgrant or contract under the grant or subgrant; and any rights of copyright to which the 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 the use of a copyrighted work, or the cost of acquiring by purchasing a copyright in a work, where the DOL 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 [insert organization’s name]. The product was created by the recipient and does not necessarily reflect the official position of DOL. DOL 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.”*

As required at 2 CFR Part 2900, any intellectual property developed under a discretionary Federal award process must be in a format readily accessible and available for open licensing to the public, which allows subsequent users to copy, distribute, transmit, and adapt the copyrighted work and attribute the work in the manner specified by the recipient.

All small business firms, and non-profit organizations (as defined in the link below, and including Institutions of Higher Education) must adhere to the Bayh-Dole Act, which requirements are provided at 37 CFR 401.3(a) and Bayh-Dole Act Required ETA Grant Term.<sup>23</sup> 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.

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<sup>23</sup> <https://www.dol.gov/sites/dolgov/files/ETA/grants/pdfs/BayhDoleGrantTerm.pdf>

F(6.) Public Communications – Certain Information Requirement

Pursuant to Public Law (Pub.L.) 118-47, Division D, 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 recipients and subrecipients 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.

F(7.) Equal Participation of Faith-Based Organizations and Written Notice of Beneficiary Protections

On March 4, 2024, the United States Department of Labor, along with eight other agencies, issued the final rule Partnerships With Faith-Based and Neighborhood Organizations. The rule is available at 29 CFR 2.30 through 2.41.

- (a) Under this final rule, a faith-based organization that participates in this award program retains its independence from Federal, State, and local Governments and may continue to carry out its mission consistent with religious freedom and conscience protections in Federal law.
- (b) A faith-based organization may not use direct Federal financial assistance, whether received through an award or subaward, to support or engage in any explicitly religious activities. An organization receiving Federal financial assistance also must not, in providing services funded by DOL, or in conducting outreach activities related to such services, discriminate against a program beneficiary or prospective program beneficiary on the basis of religion, a religious belief, a refusal to hold a religious belief, or a refusal to attend or participate in a religious practice.
- (c) *Notice to beneficiaries of programs supported by direct Federal financial assistance.* Any organization providing services to beneficiaries under programs supported by direct Federal financial assistance from DOL, and any entity responsible for disbursing Federal funds as part of a program of indirect Federal financial assistance administered by DOL, must give the written notice shown below to beneficiaries and prospective beneficiaries:

Name of Organization:

Name of Program:

Type of Federal Financial Assistance: **DIRECT**

Contact Information for Program Staff: (provide name, phone number, and email address, if appropriate)

Because this program is supported in whole or in part by financial assistance from the Federal Government, we are required to let you know that:

- (1) We may not discriminate against you on the basis of religion, a religious belief, a refusal to hold a religious belief, or a refusal to attend or participate in a religious practice;
- (2) We may not require you to attend or participate in any explicitly religious activities (including activities that involve overt religious content such as worship, religious instruction, or proselytization) that are offered by our organization, and any participation by you in such activities must be purely voluntary;
- (3) We must separate in time or location any privately funded explicitly religious activities (including activities that involve overt religious content such as worship, religious instruction, or proselytization) from activities supported with direct Federal financial assistance;
- (4) You may report violations of these protections, including any denials of services or benefits by an organization, by contacting or filing a written complaint with the U.S. Department of Labor's Civil Rights Center, 200 Constitution Avenue NW, Room N-4123, Washington, DC 20210, or by email to [CRCEXternalComplaints@dol.gov](mailto:CRCEXternalComplaints@dol.gov); and
- (5) If you would like to seek information about whether there are any other federally funded organizations that provide these kinds of services in your area, please call toll-free 1-877-US2-JOBS (1-877-872-5627) or TTY 1-877-889-5627.

This written notice must be given to you before you enroll in the program or receive services from the program, unless the nature of the service provided or exigent circumstances make it impracticable to provide such notice before we provide the actual service. In such an instance, this notice must be given to you at the earliest available opportunity.

#### F(8.) Personally Identifiable Information

The award recipient(s) must recognize and safeguard Personally Identifiable Information (PII) except where disclosure is allowed by prior written approval of the Grant Officer or by court order. Award recipients must meet the requirements in TEGL No. 39-11, Guidance on the Handling and Protection of PII<sup>24</sup>.

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<sup>24</sup> <https://www.dol.gov/agencies/eta/advisories/training-and-employment-guidance-letter-no-39-11>



In accordance with TEN 21-23<sup>25</sup>, if it is the practice of the grant recipient to publish NOAs on a website accessible to the public, the Department recommends that the grant recipient redact or mask the Payment System ID to prevent unauthorized use of your accounts by fraudsters. Grant award or cooperative agreement recipients should email [regenia.mitchell@psc.hhs.gov](mailto:regenia.mitchell@psc.hhs.gov) if they find that payments have been paid to a bank account other than their registered bank account. The subject line should read: Urgent! Payment Request Deposited to Incorrect Bank Account.

#### F(9.)      Publicity and Lobbying/Advocacy

Publicity - Pursuant to Pub.L. 118-47, Division D, Title V, Section 503, the award recipient is not authorized to use any funds provided under this award—other than for normal and recognized executive-legislative relationships—for publicity or propaganda purposes, for the preparation, distribution or use of any kit, pamphlet, booklet, publication, electronic communication, radio, television, or video presentation, designed to support or defeat legislation pending before the Congress or any state or local legislature or legislative body, except in presentation to the Congress or any state or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any state or local government, except in presentation to the executive branch of any state or local government itself.

Lobbying/Advocacy - Pub.L. 118-47, Division D, Title V, Section 503, no federal funds may be used to pay the salary or expenses of any grant recipient, or an agent acting for such recipient, related to any activity designed to influence the enactment of the legislation, appropriations, regulation, administrative action, or executive order proposed or pending before the Congress or any state government, state legislature or local legislature or legislative body, other than for normal and recognized executive-legislative relationships or participation by an agency or officer of a state, local or tribal government in policymaking and administrative processes within the executive branch of that government.

#### F(10.)      Veterans' Priority Provisions

38 U.S.C.4215 requires award recipients or subrecipients to provide priority service to veterans and spouses of certain veterans for the receipt of employment, training, and placement services in any job training program directly funded, in whole or in part, by the DOL. The regulations implementing this priority of service can be found at 20 CFR Part 1010. In circumstances where an award recipient or subrecipient must choose between two qualified candidates for a service, one of whom is a veteran or eligible spouse, the veterans' priority of service provisions require that the award recipient or subrecipient give the veteran or eligible spouse priority of service by first providing him or her that service. To obtain priority of service, a veteran or spouse must meet the program's eligibility requirements. Award recipients and subrecipients must comply

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<sup>25</sup> <https://www.dol.gov/sites/dolgov/files/ETA/advisories/TEN/2023/TEN%2021-23/TEN%2021-23%20%28Accessible%20PDF%29.pdf>

with the DOL guidance on veterans' priority. ETA's TEGL No. 10-09.<sup>26</sup> provides guidance on implementing priority of service for veterans and eligible spouses in all qualified job training programs funded in whole or in part by DOL.

F(11.) Waste, Fraud and Abuse

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

F(12.) Whistleblower Protection

All employees working for contractors, grant recipients, subcontractors, subgrantees/subrecipients, and recipients of cooperative agreements working on this Federal award are subject to the whistleblower rights and remedies established at 41 U.S.C. 4712. The award recipient shall inform its employees and applicable contractors and subrecipients, in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under 41 U.S.C. 4712, as described in 3.900 through 3.906 of the Federal Acquisition Regulation. The award recipient shall insert the substance of this clause in all subawards and contracts over the Simplified Acquisition Threshold.

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

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

F(14.) Executive Order 13043 - Increasing Seat Belt Use

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

F(15.) TERM NOT USED

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<sup>26</sup> <https://www.dol.gov/agencies/eta/advisories/training-and-employment-guidance-letter-no-10-09>

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

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

F(17.) Salary and Bonus Limitations

Pursuant to Pub.L. 118-47, Division D, Title I, Section 105, award recipients and subrecipients shall not use funds to pay the salary and bonuses of an individual, either as direct costs or as indirect costs, at a rate in excess of Executive Level II. The Executive Level II salary may change yearly and is located on the OPM.gov website<sup>28</sup>. 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 DOL programs. See TEGL 10-24<sup>29</sup> for additional information.

When preparing indirect cost proposals, recipients and subrecipients must disclose salary breakdowns to their Federal cognizant agency (FCA) or pass-through entity so that they can properly assess compliance with TEGL 10-24. An example of proposed salary breakdowns is provided in Exhibit B<sup>30</sup>, as part of “A Guide for Indirect Cost Rate

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<sup>28</sup> <https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/>

<sup>29</sup> <https://www.dol.gov/agencies/eta/advisories/tegl-10-24>

<sup>30</sup> [https://www.dol.gov/sites/dolgov/files/OASAM/legacy/files/DCDWebExhibitsA122\\_Commercial.xlsx](https://www.dol.gov/sites/dolgov/files/OASAM/legacy/files/DCDWebExhibitsA122_Commercial.xlsx)

Determination<sup>31</sup>”, Section III, Examples of Exhibits to Support Indirect Cost Proposals on CPDD’s website.

To determine unallowable compensation in excess of TEGL 10-24, refer to this link (<https://www.dol.gov/sites/dolgov/files/OASAM/legacy/files/ETA-JC-SalaryCAP-Calculation.xlsx>) in CPDD’s website. Grant recipients may contact CPDD for any guidance or questions.

After evaluating and disallowing costs (when applicable) in excess of TEGL 10-24, the FCA or pass-through entity should issue applicable rates compliant with this requirement. Note that the same Excel file could also be used to determine unallowable direct compensation in excess of TEGL 10-24. Unallowable direct costs must remain as part of the indirect cost allocation base.

#### F(18.) Procurement

The Procurement Standards found in the Uniform Guidance at 2 CFR 200.318-327 require all award recipients and subrecipients to conduct procurement transactions in a manner that promotes full and open 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 and Indian Tribes (as defined in 2 CFR 200.1) to follow the same procurement policies and procedures it uses for non-Federal funds. If such policies and procedures do not exist, States and Indian Tribes must follow the procurement standards in 200.318 through 200.327. When the State and Indian Tribes have their own policies, they must also comply with 2 CFR 200.321, 200.322, 200.323, and 200.327. All other recipients and subrecipients, including subrecipients of a State or Indian Tribe, must follow the procurement standards in 200.318 through 200.327.

### **PART G: NATIONAL PROHIBITIONS AND OTHER RESTRICTIONS**

#### G(1.) Contracting with Corporations with Felony Criminal Convictions Prohibited

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

#### G(2.) Contracting with Corporations with Unpaid Tax Liabilities Prohibited

The award recipient may not knowingly enter into a contract, memorandum of understanding, or cooperative agreement with, make a grant to, or provide a loan or loan

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<sup>31</sup> <https://www.dol.gov/sites/dolgov/files/OASAM/legacy/files/DCD-2-CFR-Guide.pdf>

guarantee to, any corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

G(3.) Trafficking in Persons Prohibited

2 CFR 175.200 establishes a government-wide award term for grants and cooperative agreements to implement the requirement in regard to Trafficking in persons.

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

1. Under this award, the recipient, its employees, subrecipients under this award, and subrecipient's employees must not engage in:—
  - i. Severe forms of trafficking in persons; or
  - ii. The procurement of a commercial sex act during the period of time that this award or any subaward is in effect; or
  - iii. The use of forced labor in the performance of this award or any subaward; or
  - iv. Acts that directly support or advance trafficking in persons, including the following acts:
    - (A) Destroying, concealing, removing, confiscating, or otherwise denying an employee access to that employee's identity or immigration documents;
    - (B) Failing to provide return transportation or pay for return transportation costs to an employee from a country outside the United States to the country from which the employee was recruited upon the end of employment if requested by the employee, unless:
      - (1) Exempted from the requirement to provide or pay for such return transportation by the Federal department or agency providing or entering into the grant or cooperative agreement; or
      - (2) The employee is a victim of human trafficking seeking victim services or legal redress in the country of employment or a witness in a human trafficking enforcement action;
    - (C) Soliciting a person for the purpose of employment, or offering employment, by means of materially false or fraudulent pretenses, representations, or promises regarding that employment;
    - (D) Charging recruited employees a placement or recruitment fee; or
    - (E) Providing or arranging housing that fails to meet the host country's housing and safety standards.
2. DOL as the Federal awarding agency may unilaterally terminate this award or take any remedial actions authorized by 22 U.S.C. 7104b(c), without penalty, if any private entity under this award:

- i. Is determined to have violated a prohibition in paragraph a)1. of this award term; or
    - ii. Has an employee who is determined to have violated a prohibition in paragraph a)1. of this award term through conduct that is either—
      - (A) Associated with performance under this award; or
      - (B) Imputed to you (the recipient) 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.*
  - 1. DOL as the Federal awarding agency may unilaterally terminate this award or take any remedial actions authorized by 22 U.S.C. 7104b(c), without penalty, if a subrecipient that is a private entity under this award—
    - i. Is determined to have violated a prohibition in paragraph a)1. of this award term; or
    - ii. Has an employee who is determined to have violated a prohibition in paragraph a)1. of this award term through conduct that is either—
      - (A). Associated with performance under this award; or
      - (B). Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” as implemented by our agency at 29 CFR Part 98.
- c. *Provisions applicable to any recipient.*
  - 1. The recipient must inform DOL and the DOL Office of the Inspector General immediately of any information you (the recipient) receive from any source alleging a violation of a prohibition in paragraph a)1. of this award term.
  - 2. DOL’s right to unilaterally terminate this award as described in paragraph a.2 or b.1 of this award term:
    - i. Implements the requirements of 22 U.S.C. 78, and
    - ii. Is in addition to all other remedies for noncompliance that are available to DOL under this award.
  - 3. The award recipient must include the requirements of paragraph a)1. of this award term in any subaward the award recipient makes to a private entity.
- d. *Definitions.* For purposes of this award term:
  - 1. “Employee” means either:

- i. An individual employed by the award recipient or a subrecipient who is engaged in the performance of the project or program under this award; or
  - ii. Another person engaged in the performance of the project or program under this award and not compensated by the recipient including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost-sharing requirements.
- 2. “Private Entity” means any entity, including for-profit organizations, nonprofit organizations, institutions of higher education, and hospitals. The term does not include foreign public entities, Indian Tribes, local governments, or states as defined in 2 CFR 200.1.
- 3. The terms “severe forms of trafficking in persons,” “commercial sex act,” “sex trafficking,” “Abuse or threatened abuse of law or legal process,” “coercion,” “debt bondage,” and “involuntary servitude” have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

#### G(4.) Health Benefits Coverage for Contraceptives

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

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

#### G(5.) Health Benefits Coverage for Abortions Restricted

Pursuant to Pub.L. 118-47, Division D, Title V, Section 506 and 507, Federal funds received under this award 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 recipient or subrecipient from providing health benefits coverage for abortions when all funds for that specific benefit do not come from a Federal source. Additionally, no funds made available through this award may be provided to a State or local government if such government subjects any institutional or individual healthcare entity to

discrimination on the basis that the healthcare entity does not provide, pay for, provide coverage of, or refer for abortions.

G(6.) Fair Labor Standards Act Amendment for Major Disasters

Pursuant to Pub.L. 118-47, Division H, Title I, Section 108, the Fair Labor Standards Act of 1938 (FLSA) will apply as if the following language was added to Section 7 (the Maximum Hours Worked Section). This language specifically relates to occurrences of a major disaster (as declared or designated by the state or federal government) and is applied for a period of two years afterward. 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;
  - (A) 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
  - (B) 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 the applicable law to engage in and perform the activities described in clauses (i) through (v) of paragraph (1)(C) relating to a major disaster, and is employed by an employer that maintains worker compensation insurance coverage or protection for its employees, if required by applicable law, and withholds applicable Federal, State, and local income and payroll taxes from the wages, salaries and any benefits of such employees; and



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

G(7.) Blocking Pornography Required

Pursuant to Pub.L. 118-47, Division D, Title V, Section 520, no Federal funds received under this award may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography.

G(8.) Privacy Act

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

G(9.) Procuring Goods Obtained Through Child Labor Prohibited

Pursuant to Pub.L. 118-47, Division D, Title I, Section 103, no Federal funds received under this award 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 29, 2022. DOL has identified these goods and services on ILAB’s List of Products Produced by Forced or Indentured Child Labor webpage<sup>32</sup>.

G(10.) Promotion of Drug Legalization Restricted

Pursuant to Pub.L. 118-47, Division D, Title V, Section 509, no Federal funds received under this award shall be used for any activity that promotes the legalization of any drug or other substance included in Schedule I of the schedules of controlled substances established under Section 202 of the Controlled Substances Act except for normal and recognized executive-congressional communications or where there is significant medical evidence of a therapeutic advantage to the use of such drug or other substance or that federally sponsored clinical trials are being conducted to determine therapeutic advantage.

G(11.) Purchase of Sterile Needles or Syringes Restricted

Pursuant to Pub.L. 118-47, Division D, Title V, Section 526, no Federal funds received under this award shall be used to purchase sterile needles or syringes for the hypodermic injection of any illegal drug. This limitation does not apply to the use of funds for elements of a program other than making such purchases if the relevant State or local health department, in consultation with the Centers for Disease Control and Prevention, determines that the State or local jurisdiction, as applicable, is experiencing, or is at risk for, a significant increase in hepatitis infections or an HIV outbreak due to injection drug use, and such program is operating in accordance with State and local law.

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<sup>32</sup> <https://www.dol.gov/agencies/ilab/reports/child-labor/list-of-products>

G(12.) Restrictions Against the Creation or Research of Embryos

Pursuant to Pub.L. 118-47, Division D, Title V, Section 508, no Federal funds received under this award shall be used for (1) the creation of a human embryo or embryos for research purposes; or (2) research in which a human embryo or embryos are destroyed, discarded, or knowingly subjected to risk of injury or death greater than that allowed for research on fetuses in utero under 45 CFR 46.204(b) and section 498(b) of the Public Health Service Act (42 U.S.C. 289g(b)). For purposes of this term, the term “human embryo or embryos” includes any organism, not protected as a human subjected under 45 CFR 46 as of March 23, 2024, that is derived by fertilization, parthenogenesis, cloning, or any other means from one or more human gametes or human diploid cells.

**PART H: ATTACHMENTS**

H(1.) Attachment A: SF-424

H(2.) Attachment B: SF-424A

H(3.) Attachment C: Budget Narrative

H(4.) Attachment D: Statement of Work

H(5.) Attachment E: Payment Management System Access Letter

## **Attachment A: SF-424**

## Application for Federal Assistance SF-424

\* 1. Type of Submission:

- ☐ Preapplication  
☒ Application  
☐ Changed/Corrected Application

\* 2. Type of Application:

- ☒ New  
☐ Continuation  
☐ Revision

\* If Revision, select appropriate letter(s):

\* Other (Specify):

\* 3. Date Received:

03/27/2025

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier:

### State Use Only:

6. Date Received by State:

7. State Application Identifier:

### 8. APPLICANT INFORMATION:

\* a. Legal Name: Oregon Higher Education Coordinating Commission

\* b. Employer/Taxpayer Identification Number (EIN/TIN):

37-1737848

\* c. UEI:

EP99SZE353U6

### d. Address:

\* Street1:

3225 25th St. SE

Street2:

\* City:

Salem

County/Parish:

\* State:

OR: Oregon

Province:

\* Country:

USA: UNITED STATES

\* Zip / Postal Code:

97302-1133

### e. Organizational Unit:

Department Name:

Office of Workforce Investment

Division Name:

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

Prefix:

\* First Name:

Debra

Middle Name:

\* Last Name:

Welter

Suffix:

Title: Education and Workforce Policy Liaison

Organizational Affiliation:

\* Telephone Number:

1-971-345-1135

Fax Number:

\* Email:

debra.a.welter@hecc.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. Assistance Listing Number:

17.285

Assistance Listing Title:

Registered Apprenticeship

### \* 12. Funding Opportunity Number:

FOA-ETA-25-31

\* Title:

State Apprenticeship Expansion Formula, Round 3 (SAEF3)

### 13. Competition Identification Number:

FOA-ETA-25-31

Title:

State Apprenticeship Expansion Formula, Round 3 (SAEF3)

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

Add Attachment

Delete Attachment

View Attachment

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

Advancing Educational Success Through Apprenticeship  
Signed 424 attached

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

<b>Application for Federal Assistance SF-424</b>			
<b>16. Congressional Districts Of:</b>			
* a. Applicant	<input type="text" value="OR-6"/>	* b. Program/Project	<input type="text" value="01-06"/>
Attach an additional list of Program/Project Congressional Districts if needed.			
<input type="text"/>		<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
<b>17. Proposed Project:</b>			
* a. Start Date:	<input type="text" value="07/01/2025"/>	* b. End Date:	<input type="text" value="06/30/2028"/>
<b>18. Estimated Funding (\$):</b>			
* a. Federal	<input type="text" value="4,990,464.00"/>		
* 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="4,990,464.00"/>		
<b>* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?</b>			
<input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on		<input type="text"/>	
<input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review.			
<input checked="" type="checkbox"/> c. Program is not covered by E.O. 12372.			
<b>* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)</b>			
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
If "Yes", provide explanation and attach			
<input type="text"/>		<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
<b>21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)</b>			
<input checked="" type="checkbox"/> ** 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.			
<b>Authorized Representative:</b>			
Prefix:	<input type="text"/>	* First Name:	<input type="text" value="Julia"/>
Middle Name:	<input type="text"/>		
* Last Name:	<input type="text" value="Steinberger"/>		
Suffix:	<input type="text"/>		
* Title:	<input type="text" value="Director Office of Workforce Investment"/>		
* Telephone Number:	<input type="text" value="1-971-345-1136"/>	Fax Number:	<input type="text"/>
* Email:	<input type="text" value="Julia.Steinberger@HECC.oregon.gov"/>		
* Signature of Authorized Representative:	<input type="text" value="Debra Welter"/>	* Date Signed:	<input type="text" value="03/27/2025"/>

## **Attachment B: SF-424A**

# BUDGET INFORMATION - Non-Construction Programs

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

## SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Assistance Listing Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. SAEF3 - Competitive	17.285	\$ 0.00	\$ 0.00	\$ 4,990,464.00	\$ 0.00	\$ 4,990,464.00
2.						
3.						
4.						
5. Totals		\$ 0.00	\$ 0.00	\$ 4,990,464.00	\$ 0.00	\$ 4,990,464.00



SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1) [SAEF3 - Competitive]	(2)	(3)	(4)	
a. Personnel	\$ 91,135.00	\$	\$	\$	91,135.00
b. Fringe Benefits	52,500.00				52,500.00
c. Travel	1,425.00				1,425.00
d. Equipment	0.00				0.00
e. Supplies	4,500.00				4,500.00
f. Contractual	4,825,000.00				4,825,000.00
g. Construction	0.00				0.00
h. Other	1,200.00				1,200.00
i. Total Direct Charges (sum of 6a-6h)	4,975,760.00			\$	4,975,760.00
j. Indirect Charges	14,704.00			\$	14,704.00
k. TOTALS (sum of 6i and 6j)	\$ 4,990,464.00	\$	\$	\$	4,990,464.00
7. Program Income	\$ 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. SAEF3 - Competitive	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
9.						
10.						
11.						
12. TOTAL (sum of lines 8-11)	\$ 0.00	\$ 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	
13. Federal	\$ 1,700,000.00	\$ 450,000.00	\$ 375,000.00	\$ 425,000.00	\$ 450,000.00	
14. Non-Federal	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
15. TOTAL (sum of lines 13 and 14)	\$ 1,700,000.00	\$ 450,000.00	\$ 375,000.00	\$ 425,000.00	\$ 450,000.00	
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. SAEF3 - Competitive	\$ 1,700,000.00	\$ 2,000,000.00	\$ 1,290,464.00	\$ 1,290,464.00		
17.						
18.						
19.						
20. TOTAL (sum of lines 16 - 19)	\$ 1,700,000.00	\$ 2,000,000.00	\$ 1,290,464.00	\$ 1,290,464.00		
SECTION F - OTHER BUDGET INFORMATION						
21. Direct Charges:		22. Indirect Charges: Indirect Rate Fixed at 14.75% - estimate is 14,704				
23. Remarks:						

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## **Attachment C: Budget Narrative**

**Attachment A**  
**Oregon Higher Education Coordinating Commission**  
**SAEF Competitive, Round 3 Budget Narrative**

**Total: \$4,990,464**

Category	Current Budget
Personnel	\$91,135
Fringe Benefits	\$49,100
Travel	\$1,425
Equipment	
Supplies	\$4,500
Contractual	\$4,828,400
Construction	
Other	\$1,200
Indirect Charges (14.75%)	\$14,704

**Personnel:** Total Cost: \$91,135

Position Title	Purpose	FTE	Length of Work	Monthly Salary	Total Cost for 36 Months
Education and Workforce Specialist (ES2)	Completes federal reporting, ensures deliverables are being met, conducts project management activities.	0.33	24 Months	\$11,507	\$91,135

A Higher Education Coordination Commission (HECC) Education and Workforce Specialist 2 (ES2) who is currently managing another USDOL grant will be assigned to SAEF 3 at 0.33 FTE for during years two and three of the grant (the initial 12 months will be funded from SAEF 3 formula grant funds). The ES 2 will conduct grant management activities including monitoring, completing quarterly reporting and ensuring grant deliverables are being met. This position worked in coordination with other grant management staff at HECC and participate in interagency meetings with BOLI, the HECC's Office of Community Colleges and Workforce Development, and Oregon Department of Education.

**Attachment A**  
**Oregon Higher Education Coordinating Commission**  
**SAEF Competitive, Round 3 Budget Narrative**

**Fringe Benefits:** Total Cost: \$49,100

Position Title	Purpose	FTE	Length of Work	Monthly Benefits	Total Cost for 36 Months
Education and Workforce Specialist (ES2)	Completes federal reporting, ensures deliverables are being met, conducts project management activities.	0.33	24 Months	\$6,200	\$49,100

*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).*

**Travel:** Total Cost: \$1,425

In-state travel to provide monitoring and attend regional meetings associate with grant management:

- In-state mileage 1,000 miles @\$0.72 per = \$720
- Hotel \$110 (3 nights) = \$330
- Per diem \$75 (5 days) = \$375

**Supplies:** Total Cost: \$4,500

Direct office supplies related to the ES2 working on the grant (i.e. office furniture, office supplies, computer and peripherals, software, etc.).

**Contractual:** Total Cost: \$4,828,400

### **Contracts**

***Teachers Standards and Practices Commission*** Total Cost: \$2,275,000

TSPC has piloted a robust and easily navigable pathway for completion of a teaching apprenticeship program which leads to a teaching Licensure. The impact for the program is significant in our rural and frontier communities. TSPC will use the funds from the SAEF 3 Formula grant to create the infrastructure and systems to expand the program to be available all school district in the state. The funds will be used for TSPC staffing and travel within the agency. Funds will also be used for stipends and financial support of the apprentices enrolled in the expanding system. Additionally, by leveraging the successful Teacher Cadet programs that many Oregon high schools currently provide, Oregon can launch a pre-apprenticeship in teaching program that will increase recruitment into Oregon's teaching workforce.

**Attachment A**  
**Oregon Higher Education Coordinating Commission**  
**SAEF Competitive, Round 3 Budget Narrative**

***Bureau of Labor and Industry*** Total Cost: \$50,000

Funds to provide for systemic change of the application process for new apprenticeship and pre-apprenticeship program. Also, resources will be used to provide new media on the Oregonapprenticeship.org website.

**Sub-Awards**

***United We Heal (UWH)*** Total Cost: \$500,000

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.

Funds from this proposed initiative would be used to support and expand the capacity of the program in the Willamette Valley, creating opportunities for additional employers to participate. UWH intends to provide incentives to employers to offset the staff time needed to appropriately mentor and supervise the apprentices, which will also open opportunities for employers who may otherwise lack the resources to participate.

UWH will also work with employers engaged in existing sector partnerships, as well as the community colleges in their respective regions, to explore additional RAPs in other healthcare. Occupations. Thus far, employers have expressed interest in using RAPs to skill up Phlebotomists and Pharmacy Tech. Funds will provide funds for staffing, travel, student support, and supplies.

***Northwest Oregon Works*** Total Cost: \$400,000

Northwest Oregon Works will work parallel with United We Heal to expand behavioral health registered apprenticeship opportunities to diverse individuals. Their expansion efforts will be focused in both the Northwest Oregon Works and Willamette Workforce Partnership local workforce areas. With the expanded funding NOW plans to serve additional participants in the Qualified Mental Health Associate (QMHA) and Certified Alcohol and Drug Counselor (CADC) training programs. Funds will provide funds for staffing, travel, student support, and supplies.

***Southwest Oregon Workforce Investment Board (SOWIB)*** Total Cost: \$400,000

SOWIB has been actively involved in workforce development efforts across Southwestern Oregon, including the successful launch and implementation of an Early Childhood Education program. The Early Care and Education Apprenticeship Programs offers structured training, mentorship, and educational pathways that lead to professional certification and long-term employment in ECE.

The successful implementation of this grant will lead to a significant increase in the number of apprenticeships available in the early learning and care industry in Oregon, with higher completion rates and a more diverse and skilled workforce. The expansion of these apprenticeship programs will not only benefit individual apprentices by providing them with valuable, career-ready skills but will also meet the growing demand for qualified early childhood educators in our state.

**Attachment A**  
**Oregon Higher Education Coordinating Commission**  
**SAEF Competitive, Round 3 Budget Narrative**

***Child Care Resource and Referral (CCRR)*** Total Cost: \$400,000

CCRR will expand their current apprenticeship program to deliver services in northwest Oregon which provides hands-on training, and career advancement opportunities for early childhood educators. This initiative supports aspiring professionals by combining on-the-job experience with structured learning, mentorship, and external coaching.

We anticipate that the successful implementation of this grant will lead to a significant increase in the number of apprenticeships available in the early learning and care industry, higher completion rates, and a more diverse and skilled educators in Oregon's workforce. This will not only benefit the individuals involved but also enhance the state's economy by meeting the expanding needs of our workforce system. CCRR will also explore the viability of delivery of a pre-apprenticeship program in their region. Funds will provide funds for staffing, travel, student support, and supplies.

***Worksystems, Inc.*** - Quality Jobs Initiative Total Cost: \$50,000

The proposed project aims to improve working conditions and expand the availability of good jobs for American workers by ensuring apprenticeship opportunities align with the Good Jobs Principles. By targeting industries such as healthcare, teacher preparatory education, and new and emerging industries, the project seeks to create pathways to sustainable employment for individuals from all demographics.

***Competitive RFP*** – Total amount: \$753,400

Give the short timeline to identify the appropriate partners to expand apprenticeship programs, HECC is holding funds aside to allow time to recruit and select additional sub-awardees. A high degree of interest exists for the SAEF program and HECC anticipates significant competition among quality applications.

**Other:** Total Costs: \$1,200

Department of Justice (DOJ) legal fees. All contracts and grant agreements above \$150,000 must go to DOJ for legal sufficiency prior to the award.

Rate of \$240 per hour x and estimated 5 hours of work.

**Indirect:** Total Cost: \$14,704

HECC has a 14.75% negotiated indirect cost rate. The indirect amount is based off HECC's Total Modified Direct Costs.

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



# **Advancing Educational Success Through Apprenticeship**

Project Narrative for SAEF3 Competitive Funding Opportunity

*Oregon Higher Education Coordinating Commission*

## **Statement of Need**

The COVID-19 pandemic had an enormous impact on Oregon's young people and the systems and professionals that support them. Prior to the pandemic, Oregon already struggled to find and retain enough early learning and care workers, K-12 educators, and behavioral health workers to meet demand. COVID-19 only exacerbated the shortages in these fields. According to the Oregon Employment Department, in just one month – between March and April 2020 – employment in child daycare services dropped 35 percent, and from 2020 to 2021, 1,800 early learning educators left the field. In early 2020, Oregon's K-12 schools shifted to virtual learning for more than a year, impacting student learning and student and educator mental health. Results on the National Assessment of Educational Progress show that, between 2019 and 2020, Oregon's test scores dropped significantly more than the national average. Further, [Data released](#) by the Annie E. Casey Foundation found that the proportion of children in Oregon experiencing anxiety and depression increased by 40 percent between 2016 and 2020. At the same time, [Portland Monthly](#) reported that a 2021 survey of educators in Oregon's largest school district, Portland Public Schools, found that educator exhaustion and stress levels were extremely high with roughly half of respondents considering early retirement, a leave of absence, or exiting the profession. Thirty percent of those surveyed said that stress was affecting their physical health. The behavioral healthcare shortage's negative effects extend beyond the early care and school-aged population. In 2020, before the pandemic began, Oregon ranked last in the nation for behavioral health outcomes. While Oregon has made progress in recovering our early learning, K-12 educator, and behavioral healthcare workforce post-pandemic, critical shortages remain in each of these sectors.

### Target Industry: Early Learning and Care

Nearly one half of all early learning and care providers experience staff shortages, severely limiting the availability of early learning care slots. According to an [article](#) published by Oregon Public Broadcasting, “statewide, there were enough early child care educators for just one in five kids under 2 and about one in three kids between ages 3 and 5. In 12 of Oregon’s 36 counties, less than 10 percent of kids 2 and younger had access to early childhood education or child care.” At the same time, the Oregon Employment Department estimates that the state will need nearly 1,300 additional early care and learning providers between 2023-2033. A major contributing factor to the worker shortage is limited access to postsecondary education early learning programs. A recent [study](#) prepared on behalf of Oregon’s Department of Early Learning and Care found that the availability and content of postsecondary education early learning programs was limited and varied significantly by region. In particular, the availability of program content focused on infants and toddlers was insufficient, and more quality field experiences and practicums are needed, especially in rural communities. Further, the cost of postsecondary education poses a barrier to prospective workers, particularly considering the industry’s low salaries.

### Target Industry: K-12 Education

Today, Oregon’s 197 public school districts and more than 1,200 public K-12 schools continue to experience a critical shortage of qualified K-12 educators throughout the state in rural and urban areas. Statewide, more than 1,800 K-12 educator positions remain unfilled for the 2025-26 school year, according to the Oregon Teacher Standards and Practices Commission’s [educator dashboard](#).

Two key contributing factors to this shortage are declining teacher retention rates and significant barriers that hinder potential educators from entering traditional teacher preparation pathways. A survey of over 800 paraeducators and other unlicensed staff conducted by one of Oregon's Educational Service District found that two-thirds of respondents expressed a desire to become licensed educators, but were daunted by major barriers. Barriers identified by respondents include: the loss of income for as long as four months while completing required student teaching and the high tuition cost of teaching degree programs.

While schools in areas throughout the state struggle to recruit and retain enough qualified educators, Oregon's many rural school districts face unique challenges. These challenges include limited access to affordable housing, healthcare, job opportunities, public transportation, and economic disparities compared to urban areas. Every year, rural schools work through the impact of "one and done" scenarios, where an otherwise qualified applicant is hired, who may not fully appreciate the isolation or cultural needs of rural Oregon. That teacher remains for one year, and then finds work elsewhere. This scenario is incredibly costly for districts, but much more so for students who desperately need to be able to trust the stability and cultural competence of their teachers, and to know that these adults value them and their communities. One rural Service District leader states, "Here in the northeast corner of Oregon, we're tucked up against Washington and Idaho and include schools like Troy and Imnaha Elementaries along the Grande Ronde River and near Hells Canyon. The isolation of many communities in rural Oregon is critical to understand, because it is often at the heart of teacher recruitment and retention. Our region is severely impacted by poverty, and the ability to develop high quality staff who know this region and its unique rural culture is a powerful practice."

The Oregon Teaching Apprenticeship (OTA) program is designed to address these challenges by providing an innovative, community-based teacher apprenticeship model that creates a standardized, accessible pathway to teacher licensure that includes tuition assistance; a true earn while you learn model. By recruiting aspiring educators directly from within local communities—particularly focusing on current educational assistants, or paraeducators, —the program not only addresses the urgent need for highly qualified teachers but also builds a workforce that contributes to a long-term workforce development strategy that promotes prosperity and sustainability for our K-12 schools across the state.

#### Target Industry: Behavioral Healthcare

The 2022 Oregon Student Health Survey collected responses from more than 45,000 6<sup>th</sup>, 8<sup>th</sup>, and 11<sup>th</sup> grade students in Oregon. The survey found that, in fall/winter of 2022, 77 percent of 11<sup>th</sup> graders surveyed had felt sad or hopeless almost every day for two weeks in a row or more in the past year. Roughly 16 percent of 8<sup>th</sup> graders reported that they had done something to purposely hurt themselves in the past year. While Oregon critically needs more behavioral health providers to meet the needs of our students and Oregonians of every age, the Behavioral Health Talent Assessment commissioned by Oregon’s Higher Education Coordinating Commission found that 32 of 36 counties in Oregon had fewer than one mental health provider per 1,000 residents, and no county had more than 2.5 providers per 1,000 residents. In fact, the Oregon Employment Department projects that, between 2023 and 2033, Oregon will need more than 4,800 additional behavioral health care workers. The Behavioral Health Talent Assessment also recommends expanding affordable behavioral healthcare education pathways, particularly work-based learning opportunities and programs that provide wraparound supports, such as Registered Apprenticeships, as a key strategy in addressing the worker shortage. Further, expanded career

awareness and exposure in high school through career-connected learning opportunities like pre-apprenticeships is needed to increase the behavioral health workforce. These retention issues can be addressed through a high-quality apprenticeship model.

#### Active Office of Apprenticeship Grants

The HECC has an active State Apprenticeship Expansion, Equity, and Innovation (SAEEI) grant awarded for \$3,999,999. The grant was awarded in July 2021 and expires on June 30, 2025, and has approximately \$1.25 million unspent. Given current rate of expenditure, HECC expects to be fully spent out at the conclusion of the grant period. With HECC's SAEEI grant ending as SAEF3 projects are slated to start, staffing and workflow within the agency will have little overlap. SAEF3 funds would allow the HECC to build on the success of SAEEI and allow the agency to retain staff with expertise in administering Office of Apprenticeship grants. Further, the HECC's SAEF3 project leverages the infrastructure developed by two subrecipients of HECC's SAEEI grant – Northwest Oregon Works and United We Heal – to expand existing behavioral health Registered Apprenticeships. The agency does not have a SAEF1 or SAEF2 grant.

### **Expected Outputs and Outcomes**

#### State-determined Performance Measure

In addition to the Office of Apprenticeship-determined performance measures, the HECC will track the number of training agents added to existing and newly developed Registered Apprenticeship programs. Subawardees will be required to report on this measure in their quarterly performance reports. This measure will help us assess the viability of the project's

outreach and engagement activities and efforts to modernize and streamline processes for employers.

See Attachment 9 for outputs and outcomes chart.

## **Project Design**

### Vision and Goals

The Advancing Educational Success Through Apprenticeship Project envisions an Oregon apprenticeship system that offers job-seekers access to high-quality, affordable training pathways into Good Jobs, supplies employers with the qualified workers to fill their positions, and ensures communities benefit from the well-staffed systems and services they need to thrive in every area in the state. The project has three main goals:

- 1) Expand existing successful early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry,
- 2) Develop new and innovative early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry,
- 3) Ensure apprenticeship program quality and transparency.

*Goal 1: Expand existing successful early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry.*

This project aims to expand the capacity of Oregon's existing Registered Apprenticeships in early care and learning, K-12 education, and behavioral healthcare, aligning with the Office of Apprenticeship's goal #2 to support integrated Registered Apprenticeship strategies and state and

territory capacity to engage industry and meet the demand for emerging apprenticeable industries including the education sector and care economy.

Expansion of existing successful programs leverages past program infrastructure investments to increase the number of apprentices served and the geographic reach of Registered Apprenticeships and related pathways, furthering the Office of Apprenticeship's goal 1 to "help states and territories advance the Registered Apprenticeship system as a workforce development strategy and post-secondary education career pathway that maintains the nation's strong, adaptable, and highly skilled workforce. ..." and goal 3, to "allow states and territories to build capacity to significantly increase and facilitate Registered Apprenticeship opportunities from start to completion for all American workers..."

*Goal 2: Develop new and innovative early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry.*

In addition to expanding existing programs, this project will develop new and innovative Registered Apprenticeships and pathways to entry in critical occupations for the early care and learning, K-12 education, and behavioral healthcare sectors. New programs will increase access to apprenticeship opportunities throughout the state, particularly in rural communities, and will broaden the occupations for which there are Registered Apprenticeship opportunities. This goal furthers the Office of Apprenticeship's goals 1-3 in the same way as this project's goal 1. In addition, by focusing on critical occupations in emerging industries for apprenticeship, this project furthers the Office of Apprenticeship's goal 2, to "support integrated, statewide Registered Apprenticeship strategies and state and territory capacity to engage industry and meet the demand for new programs in both traditional and emerging industries and occupations within the state."

*Goal 3: Ensure apprenticeship program quality and transparency.*

In alignment with the Office of Apprenticeship's goals 1 and 4, this project seeks to ensure that Oregon's Registered Apprenticeship programs are high quality, pre-apprenticeship programs adhere to the quality framework for pre-apprenticeships, and that Good Job Principles are embedded in Oregon's apprenticeship programs. Further, this project embraces transparency and consistency, committing to sharing-out lessons learned and operational documents, and replicating successful programs from other states in a way that works for Oregon.

#### Quarterly Milestones

##### YEAR 1 – Q1

- *Grant agreements for direct Subawardees executed:* The HECC will work with directly funded Subawardees to develop and execute grant agreements.
- *New staff recruited and hired:* direct Subawardees will recruit for, interview, and onboard new staff members to support the project.
- *Request for Application posted:* The HECC will post a Request for Application (RFA) for the development of new Registered apprenticeship and pre-apprenticeship programs.

##### YEAR 1 – Q2

- *Outreach and education materials created:* direct Subawardees will develop outreach and education materials for use in recruiting apprentices and employers to serve as training agents.
- *New training agents recruited:* direct Subawardees will bring on new training agents to expand the reach of existing Registered Apprenticeship programs.
- *Subawards awarded to successful RFA applicants:* HECC will send award notices to



successful applicants to its RFA.

#### YEAR 1 – Q3

- *Apprentices enrolled in expanded programs:* direct Subawardees will enroll new apprentices into expanded Registered Apprenticeship programs.
- *Grant agreements for RFA Subawardees executed:* the HECC will work with successful RFA applicants to develop and execute grant agreements.

#### YEAR 1 – Q4

- *New staff recruited and hired:* RFA grantees will recruit for, interview, and onboard new staff members to support the project.
- *Training agents for new programs recruited:* RFA grantees will secure employer partners to serve as training agents and to help develop new Registered Apprenticeship programs.

#### YEAR 2 – Q1

- *New pre-apprenticeships established:* direct Subawardees will establish new pre-apprenticeships that create pathways into their existing Registered Apprenticeship programs.
- *JATCs for new Registered Apprenticeship programs formed:* RFA grantees will establish JATCs for their proposed new Registered Apprenticeship programs.
- *Pre-apprentices enrolled in new pre-apprenticeship programs:*

#### YEAR 2 – Q2:

- *Applications for new Registered Apprenticeship programs submitted:* RFA Subawardees will submit completed applications for newly developed Registered Apprenticeship programs to the Bureau of Labor and Industries (BOLI) – Oregon’s State Approving

Agency.

#### YEAR 2 – Q3:

- *Apprentices exited:* the first cohort of apprentices enrolled in expanded Registered Apprenticeship programs will complete their programs.

#### YEAR 2 – Q4

- *New Registered Apprenticeship programs approved:* applications for new Registered Apprenticeship programs developed by RFA Subawardees will be approved by BOLI.

#### YEAR 3 – Q1

- *Apprentices enrolled in new Registered Apprenticeship programs:* RFA grantees will enroll the first cohort of pre-apprentices in newly approved Registered Apprenticeship programs.

#### YEAR 3 – Q2

- *Registered Apprenticeship programs reviewed and quality improvements identified:* the HECC will work with direct Subawardees to complete a quality review of expanded Registered Apprenticeship programs and identify quality improvements.
- *Proposed program changes submitted to State Approving Agency:* direct Subawardees will submit proposed quality improvement changes to expanded Registered Apprenticeship programs.

#### YEAR 3 – Q3

- *New pre-apprenticeships established:* RFA grantees will establish new pre-apprenticeships that create pathways into their newly implemented Registered Apprenticeship programs.

#### YEAR 3 – Q4

- *Quality improvement changes to Registered Apprenticeship programs adopted:* quality improvements to expanded Registered Apprenticeship programs administered by direct Subawardees will be approved by BOLI.

#### YEAR 3 – Q4

- *Pre-apprentices enrolled in new pre-apprenticeship programs:* RFA Subawardees will begin to enroll pre-apprentices in newly developed pre-apprenticeship programs.

#### Key Activities

*Directly grant funds to entities operating existing Registered Apprenticeship program in early care and learning, K-12 education, and behavioral health care to expand those programs.*

One of this project's key activities is to provide funding for the expansion of established apprenticeship programs, leveraging existing infrastructure to create new apprentice opportunities at more job sites throughout the state. The HECC will directly fund Mid-Willamette Valley Child Care Resource & Referral's (MVCCR&R's) Child Care Development Specialist Registered Apprenticeship program, Southwestern Oregon Workforce Investment Board's (SOWIB's) Early Childhood Educator Registered Apprenticeship program, the Teacher Standards and Practices Commission's (TSPC's) K-12 Teacher Registered Apprenticeship program, Northwest Oregon Works' (NOW's), United We Heal's Certified Alcohol and Drug Counselor Registered Apprenticeship programs, and United We Heal's Qualified Mental Health Associate and Qualified Mental Health Professional Registered Apprenticeship programs.

MVCCR&R, SOWIB, TSPC, NOW, and United We Heal will use grant funds to conduct outreach to attract both new apprentices and new training providers. These Subawardees will host informational sessions and webinars, as well as develop and distribute promotional

materials, such as brochures, flyers, and social media content, to potential employer partners and apprentices. Further, Subawardees will work to expand and/or develop pre-apprenticeship programs that create pathways into the identified Registered Apprenticeship programs. Finally, Subawardees will work to expand their Registered Apprenticeship programs to other regions around the state by providing subject matter expertise and technical assistance. They will offer support around program design, program registration, system navigation, workforce alignment and navigating the State Approving Agency's processes.

*Run a competitive Request for Application that will grant funds to entities to expand Registered Apprenticeship to new occupations.*

In addition to directly funding existing Registered Apprenticeship programs, the HECC will run a competitive Request for Application (RFA) to fund proposals that will establish new and innovative Registered Apprenticeship and pre-apprenticeship programs in early learning and care, K-12 education, and behavioral health occupations. The RFA will prioritize funding to geographic areas where apprenticeship opportunities are limited.

*Provide incentive funding to employers to support new or expand existing RAPs in targeted industries*

Subawardees funded directly and through the competitive RFA will utilize grant funds to provide incentive funding to employers to support new or expand existing RAPs in targeted industries. Incentive funding will be key to engaging new employers in Registered Apprenticeship and allowing existing training agents to expand their programs.

*Enhance integration with the state's workforce system under WIOA to support the recruitment of participants and employers into the apprenticeship system, improve policies to effectively utilize*

*WIOA On-the-Job Training (OJT) contracts (20 C.F.R. 686.700) and Individual Training Accounts (ITAs) (20 C.F.R. 686.300) to reduce the costs of RAP participation for employers and apprentices, and improve awareness of the career and supportive services that are available through the workforce system to support apprentice retention and program completion.*

Oregon's State Workforce Board – the Workforce and Talent Development Board – will be a key advisor to this project. The Board will identify areas where Subawardees can and should leverage the state's workforce system. Further, the HECC in its role as the WIOA Title I-B programs administrator will create or amend policies and/or guidance to ensure that Subawardees leverage WIOA OJT contracts, ITAs, and career and supportive services, providing the best possible services and supports for apprentices.

Subawardees must have at least one of Oregon's local workforce development boards (LWDBs) as a key project partner or be LWDBs themselves. Through this partnership, Subawardees will utilize Oregon's American Jobs Centers – called WorkSource Oregon Centers – to recruit apprentices and employers. Further, these partnerships will ensure that subawardee projects align with local sector partnerships and sector strategies.

*Ensure Registered Apprenticeship/Pre-apprenticeship continuous improvement and quality.*

The HECC will apply a continuous improvement lens throughout this project to ensure the quality of existing and new Registered Apprenticeship and pre-apprenticeship programs. To that end, HECC staff will convene a Community of Practice for this project's Subawardees and key state agency partners. Quarterly meetings will be centered on discussing problems of practice and sharing best practices.

Additionally, the HECC will institute a quality review process in Year 3 of this grant and direct Subawardees to take steps to make quality improvement changes.

#### Partnership With the State and Local Workforce System

As Oregon's State Workforce Agency, the Higher Education Coordinating Commission (HECC) is well-positioned to implement this project in close partnership with Oregon's state and local workforce systems. In addition to administering Title I-B programs of the Workforce Innovation and Opportunity Act (WIOA), the HECC supports Oregon's State Workforce Board – the Workforce and Talent Development Board. This project's vision is responsive to the workforce system's several joint priorities highlighted in Oregon's WIOA State Plan, including:

- Concretely improve the connection between employers and the workforce system consistent with economic development priorities.
- Improve workforce system impact by investing new and existing targeted resources that support work-based learning.

The State Plan also identifies work-based learning – in particular, Registered Apprenticeship and pre-apprenticeship – as a priority activity.

Further, the State Plan describes the detrimental impacts of the early learning and care shortage on the state's workforce and economic well-being, and the importance of access to mental health services for job seekers. Finally, the plan elevates K-12 education as a critical venue for talent development and urges integration of K-12 education and workforce.

Along with supporting the State Workforce Board, the HECC convenes three statewide Industry Consortia Industry Consortia designed as a forum for building partnerships that deeply engage partners across Oregon's workforce landscape. Each Consortium comprises representatives from

industry, education, labor, and community-based organizations who are identifying opportunities and addressing statewide sector-specific workforce development challenges. Each Consortia accomplishes the following:

- Establishes strategic partnerships
- Develops structured processes to address shared industry goals
- Identifies industry-specific workforce needs in Oregon
- Develops recruitment strategies to increase priority population participation
- Promotes workforce education and training programs and activities in the three industry sectors. This consortium has identified

One of Oregon's three Industry Consortia is dedicated to the healthcare sector. The Healthcare Industry Consortium has identified the behavioral health workforce as a priority and is forming a behavioral health workgroup that will advise this project.

Finally, local workforce development boards will be mandatory partners in the identification and development of new Registered Apprenticeship programs, and expansion of existing programs.

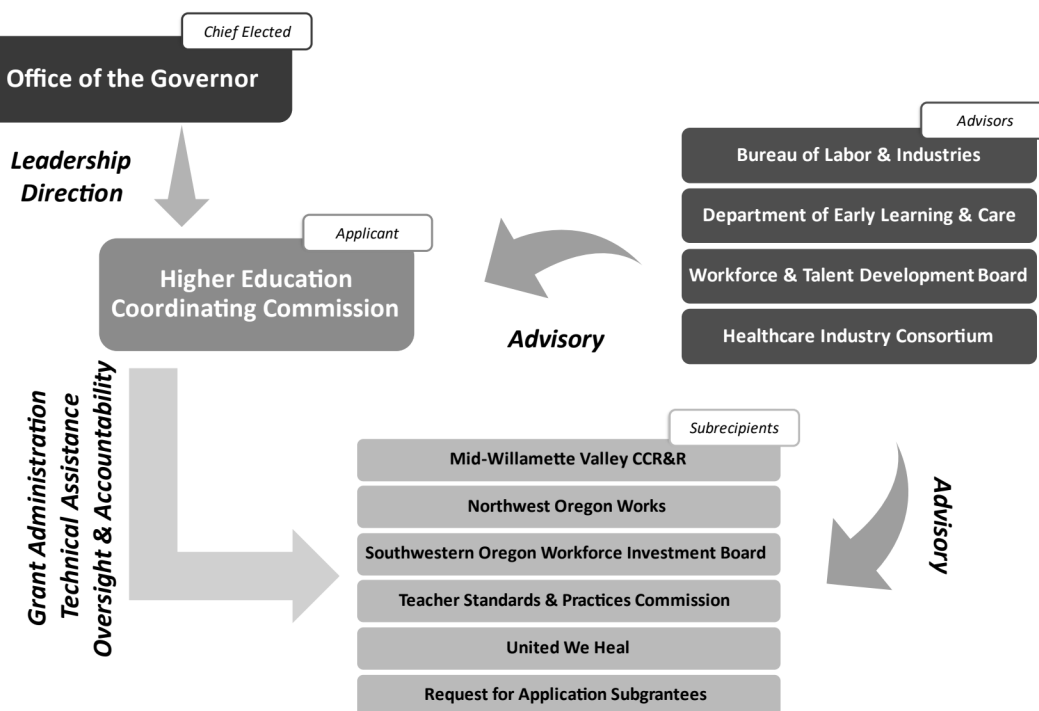
### **Organizational, Administrative, and Fiscal Capacity**

The Office of the Governor will provide leadership and direction to the HECC for this project.

As the applicant and prospective grantee, the HECC will manage the project, including managing grant funds, developing and executing subawards, providing technical assistance, conducting monitoring to ensure compliance with grant terms and conditions, reporting performance and fiscal data to DOL, and other project management duties. The HECC will seek advice from BOLI, the Department of Early Learning & Care, the Workforce & Talent

Development Board, and the Healthcare Industry Consortium throughout the project. These bodies will also advise HECC's subrecipients. The HECC will disburse the majority of grant funds to subrecipients. Direct subrecipients include Mid-Willamette Valley Childcare Resource & Referral, Northwest Oregon Works, Southwestern Oregon Workforce Investment Board, the Teacher Standards & Practices Commission, and United We Heal. The HECC will run a competitive RFA and will grant funds to successful applicants.

### Organizational Chart



### Staffing Plan

#### *Chief Elected*

<b>Office of the Governor</b>	Workforce, Labor, and Higher Education Policy Advisory
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#### *Applicant*

Higher Education Coordinating Commission		
Position	Purpose	Qualifications/Experience
OWI Director	Oversees staff and project	Currently oversees SAEI, WIOA and other DOL workforce related grants for the state.



Education Specialist	Grant management	Experience managing federal funds, including SAEEL
Workforce Industry Specialist	Ensures alignment of project with workforce system.	Manages local sector partnership grants to local workforce development boards.
Procurement Specialist	Develops agreements; assists in RFA development.	Experience developing contracts with federal funds including WIOA and SAEEL.
Budget Analyst	Oversees budget activities.	Currently administers federal funds (SAEEL, WIOA, etc.)
Grant Accountant	Completes federal financial reporting; tracks budget.	Currently administers federal funds (SAEEL, WIOA, etc.)
Accounts Payable	Enters payments into system	Currently administers federal funds (SAEEL, WIOA, etc.)
Office Specialist	Administrative support.	Expertise in providing administrative support.

### *Advisors*

	Staff	Qualifications/Experience
<b>BOLI</b>	<ul style="list-style-type: none"> <li>• ATD Administrator</li> <li>• Bilingual Technical Specialist Manager</li> <li>• Apprenticeship Representative</li> </ul>	Oregon's State Approving Agency.
<b>DEL C</b>	<ul style="list-style-type: none"> <li>• Professional Learning System Director</li> </ul>	Agency responsible for overseeing Oregon's early learning & care system.
<b>WTDB</b>	<ul style="list-style-type: none"> <li>• WTDB Director</li> <li>• Strategic Initiatives Analyst</li> </ul>	Sets Oregon's workforce development strategy; prioritizes key sectors for the state.
<b>HC Industry Consortium</b>	<ul style="list-style-type: none"> <li>• Healthcare Industry Consortium Strategist</li> </ul>	Industry forum that addresses industry-specific workforce development challenges.

### *Subrecipients*

	Staff	Qualifications/Experience
<b>Mid-Willamette Valley CCR&amp;R</b>	<ul style="list-style-type: none"> <li>• Program Director</li> <li>• Early Learning Manager</li> <li>• Chief Financial Officer</li> <li>• Grants Specialist</li> <li>• Accounts Payable Specialist</li> <li>• Procurement Manager</li> </ul>	Current administrator of Child Care Development Specialist Registered Apprenticeship program; frequent subrecipient of federal grants, including WIOA.
<b>Northwest Oregon Works</b>	<ul style="list-style-type: none"> <li>• Executive Director</li> <li>• Behavioral Health Sector Program Manager</li> <li>• Chief Compliance Officer</li> <li>• Accounting Technician</li> </ul>	Current administrator of Certified Alcohol & Drug Counselor Registered Apprenticeship program; local workforce development board; frequent subrecipient of federal grants, including WIOA and SAEEL.
<b>SW Oregon Workforce</b>	<ul style="list-style-type: none"> <li>• Executive Director</li> <li>• Finance Director</li> <li>• Apprenticeship Director</li> </ul>	Current administrator of Early Childhood Educator Registered Apprenticeship program; Local workforce development board; frequent

<b>Investment Board</b>		subrecipient of federal grants, including WIOA and ASE.
<b>Teacher Standards &amp; Practices Commission</b>	<ul style="list-style-type: none"> <li>• Director</li> <li>• Apprenticeship Administrator</li> <li>• Educator Preparation &amp; Pathways Director</li> <li>• Director of Licensing</li> <li>• Budget Coordinator</li> </ul>	State agency and current administrator of Oregon K-12 Teacher Apprenticeship.
<b>United We Heal</b>	<ul style="list-style-type: none"> <li>• Executive Director</li> <li>• Fiscal Controller</li> <li>• Behavioral Health Career Pathways Supervisor</li> <li>• CADC Program Manager</li> <li>• QMHA Program Manager</li> <li>• Apprenticeship Recruiter</li> </ul>	Current administrator of Certified Alcohol & Drug Counselor, Qualified Mental Health Associate & Qualified Mental Health Professional Registered Apprenticeship programs; SAEI subrecipient.

### Financial, Data Collection, and Performance Reporting Systems

#### *Data Collection and Performance Reporting:*

The HECC contracts with WorkHands for apprenticeship reporting services and currently uses WorkHands software for data collection and reporting for HECC’s SAEI grant. The WorkHands software tracks participants and reportable individuals served through the project and assists in accurate reporting to USDOL for the life of the grant. WorkHands services are well known to USDOL as a premiere data and reporting service. WorkHands allows for apprentices to log into the dedicated application and input hours. They provide recruiting and matching for open apprenticeship positions to connect interested potential apprentices to available employer apprenticeships.

The system provides performance reporting through its platform, offering features like automated reminders, reporting and visual insights, customizable evaluation submission, and automated monthly reports, all of which the HECC will use to manage the project and track progress. WorkHands software tracks participant-level data on participant characteristics,

services, activities, and employment outcomes of Registered Apprentices. Subrecipients will submit data in WorkHands on a quarterly basis, and the data will then be validated and submitted to USDOL via the Workforce Integrated Performance System (WIPS) web portal.

The HECC will also have access to BOLI's Oregon Apprenticeship Tracking System (OATS), which collects and stores participant, reportable individual, program, and sponsor data, which is submitted to RAPIDS on a quarterly basis. In addition to apprentice participation data, BOLI houses multiple systems to collect and support with tracking pre-apprenticeship registration, graduation, and transition into RAPs. Data from the grant will be shared with BOLI.

### *Financial Reporting*

HECC has long-term experience managing federal funds, resulting in existing structures and supports for accurate financial, administrative and program reporting, including quarterly and annual financial reporting. HECC currently manages a \$4.12 billion biennial budget (with over \$164 million in federal grants). HECC has internal controls to ensure compliance with the appropriate federal rules, OMB circulars regarding Uniform Administrative Requirements for grants and with risk management principles and federal and state guidelines, including the Oregon Accounting Manual (OAM) and Generally Accepted Accounting Principles (GAAP). The Agency has not had a negative finding in any completed audit in the last few years. HECC also has a federally negotiated indirect rate.

### Sustainability

This project leans into integration with Oregon's workforce system to ensure sustainability. As mentioned in key activities, subrecipients must partner with at least one local workforce development board and will seek to blend and braid SAEF funding with other workforce funds in

the local area, including WIOA and state general funds. Further, the project relies on existing partnerships, including state agency partnerships and local Sector Partnerships, all of which are funded continuously with state general funds and ongoing federal funds, ensuring their continuation beyond the life of this grant. In addition, each of the HECC's direct subrecipients has demonstrated capacity to support Registered Apprenticeship without SAEF funding. The HECC will ensure that successful RFA applicants have similar capacity. The HECC will also require thorough documentation by subrecipients of processes and procedures, as well as the development of a handbook for each Registered Apprenticeship and pre-apprenticeship program developed or expanded.

**Past Performance**

See Attachment 5.

<b>State Apprenticeship Expansion Formula, Round 3 (SAEF3) Funding Opportunity Abstract</b>	
<b>Lead Applicant / Organization Name:</b> Higher Education Coordinating Commission (HECC)	
<b>Lead Applicant Entity Type:</b> State government	
<b>Lead Applicant City and State:</b> Salem, Oregon	
<b>Application Type:</b> Competitive Funding	
<b>Project Title:</b> Advancing Education Success Through Apprenticeship	
<b>Total Funding Amount Requested:</b> Competitive: \$4,990,464.00	
<b>Total Number of apprentices enrolled in RAPs during the life of the grant, if applicable:</b> 225	
<b>Population(s) to be Served:</b> unemployed, underemployed, dislocated, veterans, and incumbent workers; rural job-seekers.	
List the name of the <b>Required Partner</b> ( <i>for States with federally-recognized SAAs</i> ): Bureau of Labor and Industry (BOLI)	
List the name(s) of <b>Optional Partners</b> , as applicable:	
Teacher Standards and Practices Commission	Credentialling body for educators in K-12 system
Northwest Oregon Works	Local workforce development board
Southern Oregon Workforce Investment Board	Local workforce development board
United We Heal	Behavioral health apprenticeship provider
Mid-Willamette Valley Community Action Agency Childcare Referral and Resource	Childcare apprenticeship provider
Worksystems, Inc.	Local workforce development board
Department of Early Learning & Care	State agency that oversees early learning & care
Workforce & Talent Development Board	State workforce board
Healthcare Industry Consortium	Industry advisory body

*[add additional lines as needed]*

**Targeted Industry(ies) and/or Occupation(s):** K-12 Education, Early Learning & Care, and Behavioral Health

**Summary of program activities:** Expand existing Registered Apprenticeship programs and the pathways into them; develop new Registered Apprenticeship programs and the pathways into them; ensure quality, transparency, and alignment with the workforce system.

**Subrecipient Roles: List all subrecipients and the roles(activities) they will fill on the proposed project. Roles should be aligned to proposed work Plan.**

- Teacher Standards and Practices (TSPC)  
Will provide oversight, recruitment, and expand apprenticeships and pre-apprenticeships in K-12 Education
- United We Heal (UWH)  
Will provide oversight, recruitment, expand and create new apprenticeships and pre-apprenticeships in the behavioral health sector.
- Mid-Willamette Valley Community Action Agency Childcare Referral and Resource (MWVCAACCR&R)  
Will provide oversight, recruitment, and expand apprenticeships and pre-apprenticeships in Early Childhood Education.
- Southern Oregon Workforce Investment Board (SOWIB)  
Will provide oversight, expand, and develop new apprenticeships and pre-apprenticeships in Early Childhood Education.
- Northwest Oregon Works (NOW)  
Will provide oversight, expand and develop new apprenticeships and pre-apprenticeships in behavioral health.

**List of credential(s) to be awarded:**

**QMHA**

**QMHP**

**CADC1**

**CADC2**

**Teaching licenses**

**Early learning and care licenses**

<b>Other credentials to be determined</b>
<b>Public Contact Information</b> <b>Name: Julia Steinberger</b> <b>Title: Director, Office of Workforce Investments, Oregon Higher Education</b> <b>Coordinating Commission</b> <b>Address: 3225 25th St SE, Salem, OR 97302</b> <b>Phone Number: 971-345-1136</b>

<b>State Workforce Agency</b>	Higher Education Coordinating Commission
<b>Year # 1 Quarter# 1 July 2025 - September 2025</b>	
<b>Goal # 1</b>	Expand existing successful early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry.
<b>Activities:</b> <ul style="list-style-type: none"> <li>• Ramp up</li> <li>• Hiring</li> <li>• Project administration</li> <li>• Outreach</li> </ul>	Post job recruitments, interview applicants, and hire; identify and develop needed outreach and recruitment materials; conduct outreach campaigns to attract apprentices and employers to the program; host informational sessions and webinars for potential employer partners;
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, advisory bodies, subawardees
<b>Deliverable(s):</b> <ul style="list-style-type: none"> <li>• Outreach and recruitment materials for existing Registered Apprenticeships</li> </ul>	N/A
<b>Milestones</b>	<ul style="list-style-type: none"> <li>• Grant agreements for direct subgrantees executed.</li> <li>• New staff recruited and hired.</li> </ul>
<b>Time frame</b>	<b>Start:</b> July 2025 <b>End:</b> September 2025
<b>Cost</b>	\$225,000
<b>Goal # 2</b>	Develop new and innovative early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry.
<b>Activities:</b> <ul style="list-style-type: none"> <li>• Ramp up,</li> <li>• Project administration</li> <li>• Program development</li> <li>• Conduct outreach campaigns to attract apprentices and employers to the program.</li> </ul>	Conduct outreach campaigns to attract apprentices and employers to the program; host informational sessions and webinars for potential employer partners; direct subawardees develop standards of apprenticeship for new Registered Apprenticeship programs; develop competitive Request for Application (RFA).
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, advisory bodies, subawardees.
<b>Deliverable(s):</b> <ul style="list-style-type: none"> <li>• Competitive RFA</li> <li>• Draft standards of apprenticeship</li> </ul>	N/A



<b>Milestones</b>	<ul style="list-style-type: none"> <li>• Competitive Request for Application posted.</li> <li>• Draft standards of apprenticeship for new Registered Apprenticeship programs developed by direct subawardees.</li> </ul>
<b>Time frame</b>	<b>Start:</b> July 2025 <b>End:</b> September 2025
<b>Cost</b>	\$225,000

<b>State Workforce Agency</b>	Higher Education Coordinating Commission
<b>Year # 1 Quarter# 2</b> October 2025 – December 2025	
<b>Goal # 1</b>	Expand existing successful early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry.
<b>Activities:</b> <ul style="list-style-type: none"> <li>• Recruitment of apprentices, pre-apprentices, and training agents</li> <li>• Partnership engagement</li> <li>• Program expansion</li> </ul>	Host recruitment and informational events; distribute BOLI apprentice and training agent applications; conduct program design, program registration, system navigation, and workforce alignment; meet with other regions around the state to expand existing apprenticeships and provide technical assistance.
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, advisory bodies, subawardees.
<b>Deliverable(s):</b> <ul style="list-style-type: none"> <li>• Handbooks for existing Registered Apprenticeship programs.</li> </ul>	N/A
<b>Milestones</b>	<ul style="list-style-type: none"> <li>• Apprentices recruited</li> <li>• New training agents recruited.</li> </ul>
<b>Time frame</b>	<b>Start:</b> October 2025 <b>End:</b> December 2025
<b>Cost</b>	\$125,000
<b>Goal # 2</b>	Develop new and innovative early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry.
<b>Activities:</b> <ul style="list-style-type: none"> <li>• Program development</li> <li>• Partnership engagement</li> </ul>	Conduct feasibility studies for pre-apprenticeship programs; engage with stakeholders to understand the demand

	and structure of pre-apprenticeship programs; begin development of pre-apprenticeship programs; evaluate applications to competitive RFA.
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, advisory bodies, subawardees.
<b>Deliverable(s):</b> <ul style="list-style-type: none"> <li>• RFA award decisions.</li> <li>• Standards of apprenticeship for new programs.</li> </ul>	N/A
<b>Milestones</b>	<ul style="list-style-type: none"> <li>• RFA awards announced.</li> <li>• Standards of apprenticeship for new programs submitted.</li> </ul>
<b>Time frame</b>	<b>Start:</b> October 2025 <b>End:</b> December 2025
<b>Cost</b>	\$125,000
<b>Goal # 3</b>	Ensure apprenticeship program quality and transparency
<b>Activities:</b> <ul style="list-style-type: none"> <li>• Onboarding</li> <li>• Program evaluation</li> </ul>	Provide technical assistance to new training agents; evaluate curricula for applicability in rural areas.
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, advisory bodies, subawardees.
<b>Deliverable(s):</b> N/A	
<b>Milestones</b>	N/A
<b>Time frame</b>	<b>Start:</b> October 2025 <b>End:</b> December 2025
<b>Cost</b>	\$125,000

<b>State Workforce Agency</b>	Higher Education Coordinating Commission
<b>Year # 1 Quarter# 3</b> January 2026 – March 2026	
<b>Goal # 1</b>	Expand existing successful early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry.
<b>Activities:</b> <ul style="list-style-type: none"> <li>• Provide technical assistance.</li> <li>• Create recruiting materials.</li> <li>• Program design</li> <li>• Program registration</li> </ul>	N/A

<ul style="list-style-type: none"> <li>• System navigation</li> <li>• Workforce alignment</li> <li>• Navigating BOLI</li> <li>• Establish goals related to expansion, identify and expand partnerships with employers and industry groups</li> </ul>	
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> <ul style="list-style-type: none"> <li>• Recruitment materials</li> </ul>	N/A
<b>Milestones</b>	<ul style="list-style-type: none"> <li>• Apprentices enrolled in expanded programs</li> </ul>
<b>Time frame</b>	<b>Start:</b> January 2026 <b>End:</b> March 2026
<b>Cost</b>	\$150,000
<b>Goal # 2</b>	Develop new and innovative early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry.
<b>Activities:</b> <ul style="list-style-type: none"> <li>• Hold JATC meetings to approve apprentice and training agent applications</li> <li>• Program development &amp; administration</li> <li>• System navigation</li> <li>• Workforce alignment</li> <li>• Navigating BOLI</li> <li>• Develop partnerships with area employers and industry groups</li> </ul>	N/A
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> <ul style="list-style-type: none"> <li>• Grant agreements</li> </ul>	N/A
<b>Milestones</b>	<ul style="list-style-type: none"> <li>• Grant agreements for RFA subgrantees executed.</li> </ul>
<b>Time frame</b>	<b>Start:</b> January 2026 <b>End:</b> March 2026
<b>Cost</b>	\$150,000
<b>Goal # 3</b>	Ensure apprenticeship program quality and transparency

<b>Activities:</b> <ul style="list-style-type: none"> <li>• Continuous support and monitoring of apprentices' progress.</li> <li>• Create curriculum and programing to provide better options for rural apprentices in the program.</li> </ul>	N/A
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> N/A	N/A
<b>Milestones</b>	N/A
<b>Time frame</b>	<b>Start:</b> January 2026 <b>End:</b> March 2026
<b>Cost</b>	\$150,000

<b>State Workforce Agency</b>	Higher Education Coordinating Commission
<b>Year # 1 Quarter# 4</b> April 2026 – June 2026	
<b>Goal # 1</b>	Expand existing successful early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry.
<b>Activities:</b> <ul style="list-style-type: none"> <li>• Continue revolving enrollment and collaboration with BOLI and our related training agents in already established apprenticeship programs (ongoing)</li> <li>• Support existing apprentices</li> <li>• Provide and track community-based trainings</li> <li>• Provide and track on-the-job training</li> <li>• Provide and track mentorship</li> </ul>	N/A
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> N/A	N/A
<b>Milestones</b>	N/A
<b>Time frame</b>	<b>Start:</b> April 2026 <b>End:</b> June 2026
<b>Cost</b>	\$225,000
<b>Goal # 2</b>	Develop new and innovative early care and learning, K-12 education, and behavioral healthcare Registered

	Apprenticeships and the pathways to entry.
<b>Activities:</b> <ul style="list-style-type: none"> <li>Develop pre-apprenticeships</li> </ul>	Develop pre-apprenticeships that create a pathway into existing Registered apprenticeship
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> <ul style="list-style-type: none"> <li>Outreach materials</li> </ul>	N/A
<b>Milestones</b>	<ul style="list-style-type: none"> <li>New staff recruited and hired by RFA subgrantees.</li> <li>Outreach and education materials created by RFA subgrantees</li> <li>Registered Apprenticeship &amp; Pre-apprenticeship programs approved by BOLI</li> <li>Training agents recruited for new apprenticeship programs.</li> </ul>
<b>Time frame</b>	<b>Start:</b> April 2026 <b>End:</b> June 2026
<b>Cost</b>	\$225,000

<b>State Workforce Agency</b>	Higher Education Coordinating Commission
<b>Year # 2 Quarter# 1</b> July 2026 – September 2026	
<b>Goal #1</b>	Expand existing successful early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry.
<b>Activities:</b> <ul style="list-style-type: none"> <li>Continue revolving enrollment and collaboration with BOLI and our related training agents in already established apprenticeship programs (ongoing)</li> <li>Support existing apprentices</li> <li>Provide and track community based trainings</li> <li>Provide and track on-the-job training</li> <li>Provide and track mentorship</li> <li>Continue exploring pre-apprenticeship</li> <li>Employer outreach</li> </ul>	N/A

<ul style="list-style-type: none"> <li>• Connect to CTE programs</li> </ul>	
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> N/A	N/A
<b>Milestones</b>	<ul style="list-style-type: none"> <li>• New pre-apprenticeship programs established by direct subgrantees.</li> <li>• Pre-apprentices enrolled in newly established pre-apprenticeship programs.</li> </ul>
<b>Time frame</b>	<b>Start:</b> July 2026 <b>End:</b> September 2026
<b>Cost</b>	\$175,000
<b>Goal # 2</b>	Develop new and innovative early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry.
<b>Activities:</b> <ul style="list-style-type: none"> <li>• Research BOLI requirements regarding pre-apprenticeship</li> <li>• Explore how to include pre-apprenticeship into program model</li> <li>• Explore benefits of offering pre-apprenticeship</li> <li>• Explore interest in pre-apprenticeship</li> <li>• Meet with BOLI to gather standards and requirements of pre-apprenticeship</li> <li>• Survey programs to determine interest in pre-apprenticeship</li> <li>• Develop a pre-apprenticeship model</li> <li>• Determine costs and identify funding sources for pre-apprenticeship</li> </ul>	N/A
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> N/A	N/A
<b>Milestones</b>	<ul style="list-style-type: none"> <li>• JATCs formed by RFA subgrantees for new Registered Apprenticeship programs.</li> </ul>
<b>Time frame</b>	<b>Start:</b> July 2026 <b>End:</b> September 2026
<b>Cost</b>	\$175,000

<b>Goal # 3</b>	Ensure apprenticeship program quality and transparency
<b>Activities:</b> <ul style="list-style-type: none"> <li>Continue providing high quality technical assistance and subject matter expertise to apprentices, employers, and community organizations.</li> </ul>	N/A
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> N/A	N/A
<b>Milestones</b>	N/A
<b>Time frame</b>	<b>Start:</b> July 2026 <b>End:</b> September 2026
<b>Cost</b>	\$150,000

<b>State Workforce Agency</b>	Higher Education Coordinating Commission
<b>Year # 2 Quarter# 2</b> October 2026 – December 2026	
<b>Goal #1</b>	Expand existing successful early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry.
<b>Activities:</b> <ul style="list-style-type: none"> <li>Continue revolving enrollment and collaboration with BOLI and our related training agents in already established apprenticeship programs (ongoing)</li> <li>Support existing apprentices</li> <li>Provide and track community based trainings</li> <li>Provide and track on-the-job training</li> <li>Provide and track mentorship</li> <li>Continue exploring pre-apprenticeship</li> <li>Employer outreach</li> <li>Connect to CTE programs</li> </ul>	N/A
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> N/A	N/A
<b>Milestones</b>	N/A
<b>Time frame</b>	N/A
<b>Cost</b>	\$250,000

<b>Goal # 2</b>	Develop new and innovative early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry.
<b>Activities:</b> <ul style="list-style-type: none"> <li>• Program development</li> <li>• Technical assistance</li> <li>• Partner engagement</li> </ul>	N/A
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> <ul style="list-style-type: none"> <li>• Registered Apprenticeship applications.</li> </ul>	N/A
<b>Milestones</b>	<ul style="list-style-type: none"> <li>• Applications for new Registered Apprenticeship programs submitted.</li> </ul>
<b>Time frame</b>	<b>Start:</b> October 2026 <b>End:</b> December 2026
<b>Cost</b>	\$250,000

<b>State Workforce Agency</b>	Higher Education Coordinating Commission
<b>Year # 2 Quarter# 3</b> January 2027 – March 2027	
<b>Goal #1</b>	Expand existing successful early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry.
<b>Activities:</b> <ul style="list-style-type: none"> <li>• Support existing apprentices</li> <li>• Provide and track community based trainings</li> <li>• Provide and track on-the-job training</li> <li>• Provide and track mentorship</li> <li>• Continue exploring pre-apprenticeship</li> <li>• Employer outreach</li> <li>• Connect to CTE programs</li> <li>• Job placement</li> </ul>	N/A
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b>	N/A
<b>Milestones</b>	<ul style="list-style-type: none"> <li>• First cohort of apprentices enrolled in expanded Registered</li> </ul>



	Apprenticeship programs complete programs.
<b>Time frame</b>	<b>Start:</b> January 2027 <b>End:</b> March 2027
<b>Cost</b>	\$175,000
<b>Goal # 2</b>	Develop new and innovative early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry.
<b>Activities:</b> <ul style="list-style-type: none"> <li>Curriculum alignment</li> </ul>	<b>All Subgrantees</b> <ul style="list-style-type: none"> <li>Coordinate between the community colleges to ensure smooth collaboration.</li> <li>Ensure proper communication channels between the schools and apprenticeship program administrators.</li> <li>Provide technical assistance and resources to both community colleges.</li> </ul>
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> N/A	N/A
<b>Milestones</b>	N/A
<b>Time frame</b>	N/A
<b>Cost</b>	\$175,000
<b>Goal # 3</b>	Ensure apprenticeship program quality and transparency
<b>Activities:</b> <ul style="list-style-type: none"> <li>Monitor compliance with apprenticeship program standards.</li> <li>Begin to develop quality review protocol.</li> <li>Conduct exit interviews with completing apprentices</li> </ul>	N/A
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> N/A	N/A
<b>Milestones</b>	N/A
<b>Time frame</b>	N/A
<b>Cost</b>	\$150,000

<b>State Workforce Agency</b>	Higher Education Coordinating Commission
<b>Year # 2 Quarter# 4</b> April 2027 – June 2027	
<b>Goal #1</b>	Expand existing successful early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry.
<b>Activities:</b> <ul style="list-style-type: none"> <li>• Sustaining programs</li> <li>• Continued support and enrollment for apprenticeships</li> <li>• Research sustainability strategies</li> </ul>	N/A
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> N/A	N/A
<b>Milestones</b>	N/A
<b>Time frame</b>	<b>Start:</b> April 2027 <b>End:</b> June 2027
<b>Cost</b>	\$ 175,000
<b>Goal # 2</b>	Develop new and innovative early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry.
<b>Activities:</b> <ul style="list-style-type: none"> <li>• Sustaining programs</li> <li>• Continued support and enrollment for apprenticeships</li> <li>• Research sustainability strategies</li> </ul>	N/A
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b>	N/A
<b>Milestones</b>	<ul style="list-style-type: none"> <li>• New Registered Apprenticeship programs approved by BOLI.</li> </ul>
<b>Time frame</b>	<b>Start:</b> April 2027 <b>End:</b> June 2027
<b>Cost</b>	\$175,000
<b>Goal # 3</b>	Ensure apprenticeship program quality and transparency
<b>Activities:</b> <ul style="list-style-type: none"> <li>• Finalize quality review protocol.</li> </ul>	N/A
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> <ul style="list-style-type: none"> <li>• Quality review protocol.</li> </ul>	N/A

<b>Milestones</b>	<ul style="list-style-type: none"> <li>Quality review protocol established.</li> </ul>
<b>Time frame</b>	<b>Start:</b> April 2027 <b>End:</b> June 2027
<b>Cost</b>	\$150,000

<b>State Workforce Agency</b>	Higher Education Coordinating Commission
<b>Year # 3 Quarter# 1</b> July 2027 – October 2027	
<b>Goal #1</b>	Expand existing successful early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry.
<b>Activities:</b> <ul style="list-style-type: none"> <li>Sustaining programs</li> <li>Continued support and enrollment for apprenticeships</li> <li>Research sustainability strategies</li> </ul>	N/A
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> N/A	N/A
<b>Milestones</b>	N/A
<b>Time frame</b>	N/A
<b>Cost</b>	\$100,000
<b>Goal # 2</b>	Develop new and innovative early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry.
<b>Activities:</b> <ul style="list-style-type: none"> <li>Sustaining programs</li> <li>Continued support and enrollment for apprenticeships</li> <li>Research sustainability strategies</li> </ul>	N/A
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> N/A	N/A
<b>Milestones</b>	<ul style="list-style-type: none"> <li>Apprentices enrolled in new Registered Apprenticeship programs developed by RFA grantees</li> </ul>
<b>Time frame</b>	<b>Start:</b> July 2027 <b>End:</b> October 2027
<b>Cost</b>	\$100,000

<b>Goal # 3</b>	Ensure apprenticeship program quality and transparency
<b>Activities:</b> <ul style="list-style-type: none"> <li>Quality review initiated</li> </ul>	N/A
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> N/A	N/A
<b>Milestones</b>	N/A
<b>Time frame</b>	N/A
<b>Cost</b>	\$100,000

<b>State Workforce Agency</b>	Higher Education Coordinating Commission
<b>Year # 3 Quarter# 2</b> October 2027- December 2027	
<b>Goal #1</b>	Expand existing successful early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry.
<b>Activities:</b> <ul style="list-style-type: none"> <li>Sustaining programs</li> <li>Continued support and enrollment for apprenticeships</li> <li>Research sustainability strategies</li> </ul>	N/A
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> N/A	N/A
<b>Milestones</b>	N/A
<b>Time frame</b>	<b>Start:</b> October 2027 <b>End:</b> December 2027
<b>Cost</b>	\$100,000
<b>Goal # 2</b>	Develop new and innovative early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry.
<b>Activities:</b> <ul style="list-style-type: none"> <li>Sustaining programs</li> <li>Continued support and enrollment for apprenticeships</li> <li>Research sustainability strategies</li> </ul>	N/A
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> N/A	N/A
<b>Milestones</b>	N/A
<b>Time frame</b>	<b>Start:</b> October 2027 <b>End:</b> December 2027

<b>Cost</b>	\$110,000
<b>Goal # 3</b>	Ensure apprenticeship program quality and transparency
<b>Activities:</b> <ul style="list-style-type: none"> <li>• Conduct quality review</li> </ul>	N/A
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> <ul style="list-style-type: none"> <li>• Proposed changes to existing Registered Apprenticeships</li> </ul>	N/A
<b>Milestones</b>	<ul style="list-style-type: none"> <li>• Direct subgrantee Registered Apprenticeship programs reviewed, and quality improvements identified.</li> <li>• Proposed program changes from quality review submitted by direct subgrantees to BOLI.</li> </ul>
<b>Time frame</b>	<b>Start:</b> October 2027 <b>End:</b> December 2027
<b>Cost</b>	\$100,000

<b>State Workforce Agency</b>	Higher Education Coordinating Commission
<b>Year # 3 Quarter# 3</b> January 2028 – March 2028	
<b>Goal #1</b>	Expand existing successful early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry.
<b>Activities:</b> <ul style="list-style-type: none"> <li>• Sustaining programs</li> <li>• Continued support and enrollment for apprenticeships</li> <li>• Create sustainability plan</li> </ul>	N/A
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> <ul style="list-style-type: none"> <li>• Sustainability plans</li> </ul>	N/A
<b>Milestones</b>	N/A
<b>Time frame</b>	<b>Start:</b> January 2028 <b>End:</b> March 2028
<b>Cost</b>	\$120,000
<b>Goal # 2</b>	Develop new and innovative early care and learning, K-12 education, and behavioral healthcare Registered

	Apprenticeships and the pathways to entry.
<b>Activities:</b> <ul style="list-style-type: none"> <li>• Research BOLI requirements regarding pre-apprenticeship</li> <li>• Explore how to include pre-apprenticeship into program model</li> <li>• Meet with BOLI to gather standards and requirements of pre-apprenticeship</li> <li>• Sustaining programs</li> <li>• Continued support and enrollment for apprenticeships</li> <li>• Create sustainability plan</li> </ul>	N/A
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> <ul style="list-style-type: none"> <li>• Sustainability plans</li> </ul>	N/A
<b>Milestones</b>	<ul style="list-style-type: none"> <li>• New pre-apprenticeship programs established by RFA grantees.</li> </ul>
<b>Time frame</b>	<b>Start:</b> January 2028 <b>End:</b> March 2028
<b>Cost</b>	\$120,000
<b>Goal # 3</b>	Ensure apprenticeship program quality and transparency
<b>Activities:</b> <ul style="list-style-type: none"> <li>• Gather feedback from training agents and participants</li> </ul>	Conduct a survey or one-on-one conversations with apprentices, employers, and relevant community college staff about what is working and not working for them with the program.
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> <ul style="list-style-type: none"> <li>• Survey results</li> </ul>	N/A
<b>Milestones</b>	N/A
<b>Time frame</b>	<b>Start:</b> January 2028 <b>End:</b> March 2028
<b>Cost</b>	\$100,000

<b>State Workforce Agency</b>	Higher Education Coordinating Commission
<b>Year # 3 Quarter# 4</b> April 2028 – June 2028	
<b>Goal #1</b>	Expand existing successful early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry.

<b>Activities:</b> <ul style="list-style-type: none"><li>• Close out activities</li></ul>	N/A
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> N/A	N/A
<b>Milestones</b>	<ul style="list-style-type: none"><li>• Grants closed out</li></ul>
<b>Time frame</b>	<b>Start:</b> April 2028 <b>End:</b> June 2028
<b>Cost</b>	\$120,000
<b>Goal # 2</b>	Develop new and innovative early care and learning, K-12 education, and behavioral healthcare Registered Apprenticeships and the pathways to entry.
<b>Activities:</b> <ul style="list-style-type: none"><li>• Pre-apprentices enrolled</li><li>• Close out activities</li></ul>	N/A
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> N/A	N/A
<b>Milestones</b>	<ul style="list-style-type: none"><li>• Pre-apprentices enrolled in new pre-apprenticeship programs established by RFA subgrantees.</li></ul>
<b>Time frame</b>	<b>Start:</b> April 2028 <b>End:</b> June 2028
<b>Cost</b>	\$120,000
<b>Goal # 3</b>	Ensure apprenticeship program quality and transparency
<b>Activities:</b> N/A	N/A
<b>Lead/Support Implementer(s)</b>	HECC, BOLI, subgrantees
<b>Deliverable(s):</b> N/A	N/A
<b>Milestones</b>	<ul style="list-style-type: none"><li>• Quality improvement changes to direct subgrantee Registered Apprenticeships adopted.</li></ul>
<b>Time frame</b>	<b>Start:</b> April 2028 <b>End:</b> June 2028
<b>Cost</b>	\$100,464

<b>A.</b>		<b>SAEF3 Outcomes</b>	
1	Total participants served	Year 1: 100 Year 2: 175 Year 3: 200	Total: 475
2	Total participants who enrolled	Year 1: 75 Year 2: 125 Year 3: 150	Total: 350
3	Total participants who complete	Year 1: 25 Year 2: 100 Year 3: 100	Total: 225
4	Total number of participants who enroll in a pre-apprenticeship (as applicable)	Year 1: 0 Year 2: 100 Year 3: 125	Total: 225
5	Total number of participants who complete a pre-apprenticeship (as applicable)	Year 1: 0 Year 2: 75 Year 3: 100	Total: 175
6	Total number of individuals enrolled in a RAP that was developed using SAEF3 grant funds	Year 1: 75 Year 2: 75 Year 3: 75	Total: 225
7	Total number of individuals enrolled in a pre-apprenticeship that was developed using SAEF3 grant funds	Year 1: 0 Year 2: 100 Year 3: 125	Total: 225
<b>B</b>		<b>SAEF3 Outputs</b>	
1	Total RAPs created as a result of SAEF3 grant funding	Year 1: 0 Year 2: 1 Year 3: 3	Total: 4
2	Total RAPs expanded as a result of SAEF3 grant funding	Year 1: 6 Year 2: 6 Year 3: 6	Total: 18
3	Total pre-apprenticeship programs created as a result of SAEF3 grant funding (as applicable)	Year 1: 0 Year 2: 6 Year 3: 4	Total: 10
4	Total pre-apprenticeship programs expanded as a result of SAEF3 grant funding (as applicable)	Year 1: 0 Year 2: 0 Year 3: 6	Total: 6
5	Total new Registered Apprenticeship training agents added	Year 1: 6 Year 2: 6 Year 3: 12	24



e. Past Performance

<b>Name of Previous Grantor Organization:</b> Department of Labor, Employment and Training Administration
<b>Grantor Contact - Name, Title, Signature (if non-ETA grant), E-mail Address, and Telephone Number:</b> Name: Joshua Hodges Title: Federal Project Officer Telephone: 415-625-7946 E-mail: <a href="mailto:hodges.joshua@dol.gov">hodges.joshua@dol.gov</a>
<b>Project Title and Grant Number:</b> State Expansion, Equity, Innovation Grant (SAEEI) Advancing Oregon Apprenticeships AP-36519-21-60-A-41
<b>Project Information and Grant Objectives:</b> <b>United We Heal</b> , 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: <ul style="list-style-type: none"><li>• Navigating MHACBO certification/testing processes</li><li>• Arrange flexible schedules for apprentices</li><li>• Application to accredited programs including the AFSCME Free College program</li><li>• Navigating the Public Loan Forgiveness program</li><li>• Arrange supportive services per individual need.</li></ul> <b>Pacific NW Carpenters</b> 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.  <b>Crater Lake Electrical JATC</b> 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.  <b>Oregon Southern Idaho Laborers Apprenticeship</b> 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.

**Project Period of Performance:** July 1, 2021 - June 30, 2025

**Number of Participants Enrolled and Populations Served:** 1,022

At risk youth, women, low income, communities of color, underrepresented communities, communities impacted by COVID-19 and forest fires.

**Performance Goals:**

**Subawardee Goals:**

**Crater Lake JATC:**

- Enroll 270 pre-apprentices
- Matriculate 72 pre-apprentices into registered apprentices
- Matriculate 100 pre-apprentices into introductory construction jobs

**Oregon Behavioral Health RAP:**

- Register 196 apprentices in QMHA RAP
- Register 54 apprentices in PSS, CADC I and MHC RAPs

**Pacific NW Carpenters Institute:**

- Register 160 new apprentices in the carpentry occupations in rural areas per year

**Oregon Laborers Training Trust:**

- Implement pre-apprenticeship training/ trades specific training in underserved rural communities
- Create replicable model for BOLI certified RA and PAT
- Determine direct entry/priority process PATP

<b>Performance Indicator</b>	<b>Goal</b>	<b>Outcome</b>	<b>Outcome /Goal (Fraction)</b>	<b>Rate of Goal Achievement (Percentage)</b>
<i>RAPs created and/or expanded</i>	3	3	3/3	100%
<i>Number of participants served</i>	1,022	803	803/1022	78%
<i>Number of participants served who enroll in a RAP</i>	572	618	618/572	108%
<i>Number of Pre-apprentices who completed a pre-apprenticeship and enrolled in a RAP.</i>	72	50	50/75	67%

<b>Name of Previous Grantor Organization:</b> Department of Labor, Employment and Training Administration
<b>Grantor Contact - Name, Title, Signature (if non-ETA grant), E-mail Address, and Telephone Number:</b> Name: Joshua Hodges Title: Federal Project Officer Telephone: 415-625-7946 E-mail: hodges.joshua@dol.gov
<b>Project Title and Grant Number:</b> State Apprenticeship Expansion: Tier I and II AP-35124-20-60-A-41
<b>Project Information and Grant Objectives:</b> Tier I: Includes funding for staffing at the lead agency level (HECC) as well as for the state apprenticeship agency, the Bureau of Labor and Industries (BOLI), Apprenticeship and Training Division. BOLI have dedicated staff committed to apprenticeship expansion and system alignment throughout the state by partnering with local workforce boards, community colleges, educational institutions and other state agencies. Funds were also used to improve data management systems, including updates to reports and tracking that expedites the processing of the creation of new programs, updating records for existing programs, and increase ability to provide reports and analysis of program demographics.  Tier II: Includes funding for staffing at the lead agency level (HECC) as well as travel, supplies and indirect. The majority of the funding was used for grant funding to programs on the ground to create and expand registered apprenticeship programs. Five organizations proposed projects that most closely align with Oregon’s goals and funding availability. Oregon focused on the Information Technology, Healthcare, Construction and Public Safety Industries. Priorities for the state included creating and employer incentive programs and increasing diversity among participants in registered apprenticeship programs. Most of the proposed projects included creating an employer incentive program and all proposed projects have a focus on developing strategies to increasing access and opportunity to underrepresented populations. Oregon will serve at least 1,000 in the following occupations: Various Construction Trades, Electrician construction trades, Certified Nursing Assistant, Licensed Practical Nurse, Operator Engineer, Medical Assistant, Computer Support Specialist and Emergency Management Professionals.
<b>Project Period of Performance:</b> July 2020 – June 2023
<b>Number of Participants Enrolled and Populations Served:</b> 1,270
<b>Performance Goals:</b> Tier I Goals 1. Governance and operations of high quality registered apprenticeship programs

2. System alignment for apprenticeship expansion 3. Improving data sharing and data integrity  Tier II Goals 1. Establish employer incentive plan to expand or scale registered apprenticeship programs 2. Incorporate specific strategies to support or expand RAP among all workers 3. At least 10% of growth of new apprentices above the current baseline				
Performance Indicator	Goal	Outcome	Outcome /Goal (Fraction)	Rate of Goal Achievement (Percentage)
<i>RAPs created and/or expanded</i>	7	12	12/7	171%
<i>Number of participants served</i>	0	0	0/0	NA
<i>Number of participants served who enroll in a RAP</i>	0	0	0/0	NA
<i>Number of Pre-apprentices who completed a pre-apprenticeship and enrolled in a RAP.</i>	0	0	0/0	NA

<b>Name of Previous Grantor Organization:</b> Department of Labor, Employment and Training Administration
<b>Grantor Contact - Name, Title, Signature (if non-ETA grant), E-mail Address, and Telephone Number:</b> Name: Joshua Hodges Title: Federal Project Officer Telephone: 415-625-7946 E-mail: <a href="mailto:hodges.joshua@dol.gov">hodges.joshua@dol.gov</a>
<b>Project Title and Grant Number:</b> Apprenticeship State Expansion (ASE) Grant AP-33505-19-60-A-41
<b>Project Information and Grant Objectives:</b> Expand RAPs in Certified Nursing Assistant, Pharmacy Technician, Medical Assistant, and Early Childhood Educator
<b>Project Period of Performance:</b> July 2019 – June 2022
<b>Number of Participants Enrolled and Populations Served:</b> 850 Women, people of color
<b>Performance Goals:</b> 1. Elevate awareness of RAPs as a Workforce, Economic, and Education Solution 2. Cultivate a RAP system that is transparent, accessible, and equitable

3. Strengthen connections among RAP, Workforce, Education, and Industry				
Performance Indicator	Goal	Outcome	Outcome /Goal (Fraction)	Rate of Goal Achievement (Percentage)
<i>Number of participants served</i>	850	216	216/850	25%
<i>Create 2 new RAPs</i>	3	3	3/2	150%
<i>Provide job readiness supportive services to newly registered apprentices</i>	200	216	216/200	108%

<b>Name of Previous Grantor Organization:</b> Department of Labor, Employment and Training Administration
<b>Grantor Contact - Name, Title, Signature (if non-ETA grant), E-mail Address, and Telephone Number:</b> Name: Joshua Hodges Title: Federal Project Officer Telephone: 415-625-7946 E-mail: hodges.joshua@dol.gov
<b>Project Title and Grant Number:</b> American Apprenticeship Initiative/State Apprenticeship Expansion AP-30085-16-60-A-41
<b>Project Information and Grant Objectives:</b> <ul style="list-style-type: none"> <li>Comprehensive Apprenticeship Training for the Workforce Development System (CATWDS) will be developed and delivered to all workforce partners, training at least 350 staff, with individualized technical assistance provided to all Oregon workforce areas.</li> <li>The Oregonapprenticeship.org website is updated with a searchable database, ability to provide training, additional increased functionality.</li> <li>BOLI continues to provide core functions, updates database, and strengthens pre-apprenticeship structures.</li> <li>A Return on Investment Study provides information, customized to each Oregon industry that demonstrates the value of Registered Apprenticeship.</li> <li>At least 396 individuals who are low-income, women or from underrepresented populations can access pre-apprenticeship programs, with support for program completion, job search and retention support during the Registered Apprenticeship.</li> <li>Oregon Department of Human Services trains staff on Registered Apprenticeship and adds the ability to track program client participation in pre-apprenticeship and Registered Apprenticeship.</li> <li>BOLI develops Cultural Competency training and puts into place protocol so that all Registered Apprentices participate in the training.</li> </ul>

Cap Breaker 1 activities will expand access to underrepresented populations through creation of a readiness screening tool, creating a community of practice toward quality pre-apprenticeship especially in rural areas, creating a community of practice among communities of color, and harassment prevention and respectful workplaces training.

Cap Breaker 2 activities are to develop pre-apprenticeship and Registered Apprenticeship opportunities in the technology industry, which is completely new in Oregon.

**Project Period of Performance:** November 1, 2016-April 30, 2021

**Number of Participants Enrolled and Populations Served:** 516

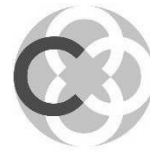
**Performance Goals:**

- Serve 380 participants
- Register 256 pre-apprentices
- Enroll 125 participants in RAPs
- Create two new apprenticeship programs

<b>Performance Indicator</b>	<b>Goal</b>	<b>Outcome</b>	<b>Outcome /Goal (Fraction)</b>	<b>Rate of Goal Achievement (Percentage)</b>
<i>RAPs created and/or expanded</i>	<i>2</i>	<i>2</i>	<i>2/2</i>	<i>100%</i>
<i>Number of participants served</i>	<i>380</i>	<i>516</i>	<i>516/380</i>	<i>136%</i>
<i>Number of participants served who enroll in a RAP</i>	<i>380</i>	<i>396</i>	<i>396/380</i>	<i>104%</i>
<i>Number of Pre-apprentices who completed a pre-apprenticeship and enrolled in a RAP.</i>	<i>256</i>	<i>129</i>	<i>129/256</i>	<i>50%</i>



workforce  
SOUTHWEST WASHINGTON



Clackamas  
Workforce  
Partnership

Employment and Training Administration  
U.S. Department of Labor  
Attn: SAEF3 Grant Program Office  
200 Constitution Ave NW  
Washington, DC 20210

**Subject:** Letter of Support for SAEF3 Grant Application – Quality Jobs Initiative Integration

Dear SAEF3 Grant Review Committee,

On behalf of the Columbia-Willamette Workforce Collaborative, we are pleased to submit this letter of support for the State Apprenticeship Expansion Formula Program (SAEF3) grant application. We celebrate the Employment and Training Administration for its commitment to expanding Registered Apprenticeship Programs (RAPs) and fostering workforce development through initiatives that promote quality jobs.

The Columbia-Willamette Workforce Collaborative (CWWC) was established in 2007 to enhance and support the region's workforce, business growth, and economic development. The three workforce boards represent the Portland Metro-Clackamas-Southwest Washington geographic landscape, align resources, streamline services, and act as strategic conveners throughout the Columbia corridor. The Quality Jobs Initiative provides a framework for defining and implementing quality jobs in our region. The initiative emphasizes six core standards: self-sufficiency wages, safe working conditions, predictable hours, comprehensive benefits, best practices in hiring, and training and advancement opportunities. These standards align seamlessly with the SAEF3 grant's objectives to create sustainable and high-quality apprenticeship opportunities.

By incorporating the CWWC Quality Jobs Initiative into the SAEF3 grant project, we aim to:

- Ensure that apprenticeship programs provide wages and benefits that meet self-sufficiency standards, enabling participants to thrive economically.
- Foster safe and respectful workplaces that prioritize worker dignity and engagement.
- Offer predictable work schedules and comprehensive benefits, reducing financial instability for apprentices and their families.
- Implement transparent hiring and onboarding practices, ensuring both employers and workers are set up for success.
- Provide training and advancement opportunities, enabling workers to build skills and progress in their careers.

Project deliverables will include new quality jobs education and technical assistance for workforce staff, employers and/or job seekers, feedback from users, and implementation guidance for other local workforce boards. This project will build on successful pilot programs with guidance and support for statewide implementation.

By embedding the CWWC Quality Jobs Initiative into apprenticeship programs, we can address and create pathways to prosperity for workers, employers, and communities. This work is critical to support regional economic development, enhancing employer competitiveness, and ensuring that apprenticeship programs serve as a cornerstone of long-term workforce strategy.

We are confident that by using the CWWC Quality Jobs Initiative in the SAEF3 grant project, our team can yield transformative outcomes for apprentices, employers, and our region.

Thank you for considering this application. We look forward to the opportunity to collaborate on this important framework.

Sincerely,

  
Bridget Dazey (Mar 21, 2025 13:06 PDT)


Bridget Dazey

Clackamas Workforce Partnership

  
Andrew McGough (Mar 21, 2025 14:42 PDT)

Andrew McGough

Worksystems, Inc

  
Miriam Halliday (Mar 21, 2025 13:54 PDT)

Miriam Halliday

Workforce Southwest Washington



# Employment and Training Administration\_CWWC LOS

Final Audit Report

2025-03-21

Created:	2025-03-21
By:	Amanda Wall (amanda.wall@clackamasworkforce.org)
Status:	Signed
Transaction ID:	CBJCHBCAABAAha3Q2mdQ9A4cRKuFezeQ0jBVljUL6btC

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2025-03-21 - 8:03:31 PM GMT- IP address: 76.115.224.223
-  Document emailed to bridget.dazey@clackamasworkforce.org for signature  
2025-03-21 - 8:03:36 PM GMT
-  Document emailed to Andrew McGough (amcgough@worksystems.org) for signature  
2025-03-21 - 8:03:36 PM GMT
-  Document emailed to mmartin@workforcesw.org for signature  
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2025-03-21 - 8:04:08 PM GMT- IP address: 20.41.15.125
-  Signer bridget.dazey@clackamasworkforce.org entered name at signing as Bridget Dazey  
2025-03-21 - 8:06:32 PM GMT- IP address: 73.180.50.98
-  Document e-signed by Bridget Dazey (bridget.dazey@clackamasworkforce.org)  
Signature Date: 2025-03-21 - 8:06:34 PM GMT - Time Source: server- IP address: 73.180.50.98
-  Email viewed by mmartin@workforcesw.org  
2025-03-21 - 8:54:19 PM GMT- IP address: 97.115.252.157
-  Signer mmartin@workforcesw.org entered name at signing as Miriam Halliday  
2025-03-21 - 8:54:55 PM GMT- IP address: 97.115.252.157
-  Document e-signed by Miriam Halliday (mmartin@workforcesw.org)  
Signature Date: 2025-03-21 - 8:54:57 PM GMT - Time Source: server- IP address: 97.115.252.157

 Email viewed by Andrew McGough (amcgough@worksystems.org)

2025-03-21 - 9:38:24 PM GMT- IP address: 104.47.73.254

 Document e-signed by Andrew McGough (amcgough@worksystems.org)

Signature Date: 2025-03-21 - 9:42:40 PM GMT - Time Source: server- IP address: 75.202.219.88

 Agreement completed.

2025-03-21 - 9:42:40 PM GMT

# UNITED WE HEAL

United We Heal Training Trust

525 NE Oregon St.  
Portland, OR 97232  
afriedman@unitedwehealoregon.com  
503-804-5030

March 20, 2025

U.S. DOL, Employment and Training Administration  
200 Constitution Avenue NW Washington, DC 20210  
Attn: SAEF3 Grant Program Office

Dear SAEF3 Grant Review Committee,

I am writing on behalf of United Wer Heal Training Trust (UWH), a dedicated mental health counseling training agency, to express our enthusiastic support for Oregon Higher Education Coordinating Commission's (HECC) application for the U.S. Department of Labor SAEF3 grant. Our agency has a long-standing commitment to advancing mental health education, workforce development, and community well-being, and we are excited about the opportunity to collaborate with HECC on this impactful initiative.

UWH has been a leader in training mental health professionals for four years, equipping counselors with the skills and knowledge necessary to address the growing demand for mental health services in our communities. Through our comprehensive programs, we have successfully trained over 130 individuals in evidence-based counseling techniques, crisis intervention, and trauma-informed care, many of whom now serve in critical roles across Oregon. Our mission aligns seamlessly with the objectives of the SAEF3 USDOL grant, particularly its emphasis on fostering a skilled workforce capable of meeting emerging labor market needs.

We firmly believe that HECC's leadership, combined with our agency's expertise, will result in a transformative program that not only meets the goals of the SAEF3 USDOL grant but also creates lasting benefits for [target population, e.g., "workers, families, and

communities in Oregon. The mental health challenges facing today's workforce are significant, and this project represents a vital step toward addressing them through education, training, and opportunity.

Please do not hesitate to contact me at 503-804-5030 or [afriedman@unitedwehealoreogn.com](mailto:afriedman@unitedwehealoreogn.com) if you require additional information about our support or capabilities. United We Heal is proud to stand with HECC in this endeavor and looks forward to contributing to its success.

Sincerely,

*Andrew Friedman*

Andrew Friedman (Mar 21, 2025 14:03 PDT)

Andrew Friedman  
Executive Director  
United We Heal Training Trust






# UWH SAEF Support Letter Health

Final Audit Report

2025-03-21

Created:	2025-03-21
By:	Heather Berry (hberry@unitedwehealoregon.com)
Status:	Signed
Transaction ID:	CBJCHBCAABAA3eeVej_JeE7AfjPvLIM_hH2eCAtoIo8Y

## "UWH SAEF Support Letter Health" History

-  Document created by Heather Berry (hberry@unitedwehealoregon.com)  
2025-03-21 - 8:56:48 PM GMT
-  Document emailed to Andrew Friedman (afriedman@unitedwehealoregon.com) for signature  
2025-03-21 - 8:56:51 PM GMT
-  Email viewed by Andrew Friedman (afriedman@unitedwehealoregon.com)  
2025-03-21 - 9:02:49 PM GMT
-  Document e-signed by Andrew Friedman (afriedman@unitedwehealoregon.com)  
Signature Date: 2025-03-21 - 9:03:04 PM GMT - Time Source: server
-  Agreement completed.  
2025-03-21 - 9:03:04 PM GMT

March 25, 2025

Grant Review Committee  
U.S. Department of Labor  
200 Constitution Ave NW  
Washington, DC 20210

RE: State Apprenticeship Expansion Competitive Funding Opportunity

Dear Review Committee,

I am writing on behalf of the Workforce and Talent Development Board (WTDB) to express our strong support for the Higher Education Coordinating Commission's (HECC's) application for the State Apprenticeship Expansion Competitive grant opportunity. This funding would support projects that address critical workforce shortages and leverage strategic workforce opportunities while expanding apprenticeships across the State of Oregon in underserved communities.

The Advancing Educational Success Through Apprenticeship project is poised to provide significant opportunities for registered apprentices in Oregon. Funding will be administered by the HECC's Office of Workforce Investments to establish apprenticeship pathways within key industries, utilize enhanced data assessment to measure program effectiveness, address workforce needs effectively, and foster partnerships for ongoing success.

The WTDB is committed to working with the HECC and other partners on this project including the Bureau of Labor and Industries (BOLI) as Oregon's State Apprenticeship Agency (SAA), Teacher Standards and Practices Commission (TSPC), Department of Early Learning, and the Oregon Health Authority which are included as enthusiastic state agency partners.

The specialized support available through this project will align with the evolving needs of Oregon's economy. Target industries and occupations will include Educational Services (K-12 Teachers), and the Care Economy (healthcare, childcare, etc.). These industries are vital for the state's economic competitiveness and the well-being of its communities.

The Advancing Educational Success Through Apprenticeship work connects directly to the WTDB's mission which advances Oregon through meaningful work, training, and education by empowering people and employers. This mission requires that the board leads and communicates a long-term vision for Oregon that anticipates and acts on future workforce needs; Advises the Governor and the legislature on workforce policy and plans; Aligns public workforce policy, resources, and

services with employers, education, training and economic development; Identifies barriers, providing solutions, and avoiding duplication of services; Promotes accountability among public workforce partners; and shares best practices and innovative solutions that are scalable statewide and across multiple regions.

The WTDB is excited about this opportunity and strongly encourages committee members to thoughtfully review this grant application for approval. We believe this work would be transformational and significantly impact the lives of countless individuals, families, and communities across Oregon.

Sincerely,

Todd Nell

A handwritten signature in black ink, appearing to read "Todd Nell", with a stylized, cursive script.

Director  
Workforce and Talent Development Board

**Child Care Resource & Referral of Marion, Polk, & Yamhill Counties**

3737 Portland Rd

Salem, OR 97301

(971) 304-8746

[julie.smith@mwvcaa.org](mailto:julie.smith@mwvcaa.org)

03/18/2025

**U.S. Department of Labor**

**Employment and Training Administration**

**Washington D.C.**

**Re: Letter of Support for Oregon's State Apprenticeship Expansion Formula (SAEF) 3 Grant Application**

Dear Grant Review Committee,

I am writing on behalf of Child Care Resource & Referral of Marion, Polk & Yamhill Counties to express our enthusiastic support for the State of Oregon's application for the State Apprenticeship Expansion Formula (SAEF) 3 Grant under FOA-ETA-25-31. Our organization recognizes the critical role that registered apprenticeships play in workforce development and is fully committed to supporting Oregon's initiative aimed at enhancing, expanding, and ensuring the quality and growth of apprenticeship programs in Early Childhood Education.

**Commitment to Apprenticeship Expansion:** Child Care Resource & Referral of Marion, Polk, and Yamhill Counties along with The Willamette Valley Early Learning JATC have been actively involved in our organization is committed to workforce development through the Early Learning Apprenticeship Program, MA 2007, which provides hands-on training, and career advancement opportunities for early childhood educators. This initiative supports aspiring professionals by combining on-the-job experience with structured learning, mentorship, and external coaching. By investing in high-quality training and career pathways, we strengthen the early learning workforce and ensure better outcomes for children and families.



We have seen firsthand the benefits that apprenticeship programs offer, particularly in providing pathways to well-paying careers for diverse populations, including those from underserved communities in Oregon.

**Collaborative Efforts:** Child Care Resource & Referral is eager to collaborate with the Higher Education Coordinating Commission's Office of Workforce Investments to further the goals of this grant. We can offer facilitation of apprenticeship, mentorship for apprenticeship models, expertise in the field of Early Learning and Care, and data sharing.

**Expected Impact:** We anticipate that the successful implementation of this grant will lead to a significant increase in the number of apprenticeships available in the early learning and care industry, higher completion rates, and a more diverse and skilled educators in Oregon's workforce. This will not only benefit the individuals involved but also enhance the state's economy by meeting the expanding needs of our workforce system.

We are confident that the funding from this grant will enable Oregon to achieve these objectives and look forward to contributing to this transformative effort. Thank you for considering Oregon's application for the SAEF3 grant. We wholeheartedly support this endeavor and are committed to its success.

Sincerely,  
Julie Smith  
Early Learning Manager  
CCR&R of Marion, Polk, & Yamhill counties  
[julie.smith@mwvcaa.org](mailto:julie.smith@mwvcaa.org)



# Oregon

Tina Kotek, Governor



Oregon Department of  
**Early Learning  
and Care**

March 3, 2025

U.S. Department of Labor  
Employment and Training Administration  
Washington D.C.

Re: Letter of Support for Oregon's State Apprenticeship Expansion Formula (SAEF) 3 Grant  
Application

Dear Grant Review Committee,

The Department of Early Learning and Care (DELIC) is submitting this letter to express our commitment and support for the State of Oregon's application for the State Apprenticeship Expansion Formula (SAEF) 3 Grant under FOA-ETA-25-31. Our organization sees important benefits to increasing pathways for the workforce and recognizes the critical role that registered apprenticeships play in workforce development and is excited about Oregon's initiative aimed at enhancing, expanding, and ensuring the quality and growth of apprenticeship programs.

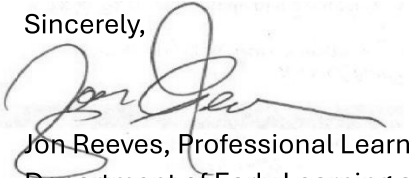
**Commitment to Apprenticeship Expansion:** DELIC has been actively involved in work related to apprenticeships in early childhood education. The early learning workforce has requested and DELIC has prioritized the development of more accessible pathways into the workforce with clear connections to opportunities for growth and development within the workforce. DELIC has supported three apprenticeship initiatives in local communities, one of which we were able to fund the communities development of their plan. We have seen firsthand the benefits that apprenticeship programs offer, particularly in providing pathways to better-paying careers for diverse populations, including those from underserved communities in Oregon.

**Collaborative Efforts:** DELIC is excited to collaborate with the Higher Education Coordinating Commission's Office of Workforce Investments to further the goals of this grant. We can offer staff expertise and knowledge of existing efforts to develop robust workforce pathways. DELIC is also able to provide access to early childhood educator training and education data, connection to existing projects with apprenticeship or pathway components, and support in convening local partners interested in developing early learning workforce capacity. DELIC is also able to support in creating collaborative webinars and trainings to facilitate this important work.

**Expected Impact:** We anticipate that the successful implementation of this grant will lead to a significant increase in the number of apprenticeships available, higher completion rates, and more diverse and skilled educators in Oregon's workforce. In the 2024 Talent Assessment Survey Report, child care was identified as the workforce relied upon by all other workforces and is a priority workforce that will enhance the state's economy by meeting the expanding needs families seeking child care so they can go to work. With successful implementation of this grant, it will benefit our education system as a whole.

We are confident that the funding from this grant will enable Oregon to achieve these objectives and look forward to contributing to this critical initiative to strengthen our workforce infrastructure. Thank you for considering Oregon's application for the SAEF3 grant. We wholeheartedly support this endeavor and are committed to its success.

Sincerely,

A handwritten signature in black ink, appearing to read "Jon Reeves", is written over a faint, light blue circular official stamp. The signature is fluid and cursive.

Jon Reeves, Professional Learning System Director  
Department of Early Learning and Care

Cell: 503-910-2484, Email: [jon.reeves@delc.oregon.gov](mailto:jon.reeves@delc.oregon.gov)



# Oregon

Tina Kotek, Governor

## Higher Education Coordinating Commission

3225 25th Street SE

Salem, Oregon 97302

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

March 21, 2025

**U.S. Department of Labor  
Employment and Training Administration  
Washington D.C.**

**Re: Letter of Support for Oregon's State Apprenticeship Expansion Formula (SAEF) 3 Grant Application**

Dear Grant Review Committee,

I am writing on behalf of the Healthcare Industry Consortium convened by the Higher Education Coordinating Commission (HECC) to express our enthusiastic support for the State of Oregon's application for the State Apprenticeship Expansion Formula (SAEF) 3 Grant under FOA-ETA-25-31. Our organization recognizes the critical role that registered apprenticeships play in workforce development and is fully committed to supporting Oregon's initiative aimed at enhancing, expanding, and ensuring the quality and growth of apprenticeship programs.

**Commitment to Apprenticeship Expansion:** The Healthcare Industry Consortium has been actively involved in establishing priorities for Workforce Ready Grant Funding, Nursing Demand Planning, Behavioral Health Workforce Planning and recently delivered the Oregon Behavioral Health Talent Assessment and Oregon Behavioral Health Career Pathways reports to inform supply/demand and future investment opportunities in the Oregon Behavioral Health Workforce education and career pipeline. We have seen firsthand the benefits that apprenticeship programs offer, particularly in providing pathways to well-paying careers for diverse populations, including those from underserved communities in Oregon.

**Collaborative Efforts:** The Healthcare Industry Consortium is eager to collaborate with the Higher Education Coordinating Commission's Office of Workforce Investments to further the goals of this grant. We can offer a statewide Consortia of executive-level healthcare industry leaders, community-based organizations, education institutions, and labor representatives to help inform program development, establish strategic partnerships, identify industry-specific workforce needs in Oregon and promote workforce education and training programs and activities in the healthcare sector through knowledge sharing and feedback in a public meeting forum and/or workgroup facilitation.

**Expected Impact:** We anticipate that the successful implementation of this grant will lead to a significant increase in the number of apprenticeships available, higher completion rates, and a more diverse and skilled educators in Oregon's workforce. This will not only benefit the individuals involved but also enhance the state's economy by meeting the expanding needs of our education system.

We are confident that the funding from this grant will enable Oregon to achieve these objectives and look forward to contributing to this transformative effort. Thank you for considering Oregon's application for the SAEF3 grant. We wholeheartedly support this endeavor and are committed to its success.

Sincerely,

*M. Foree*

**Maggie Foree**

Healthcare Industry Consortium Strategist, Higher Education Coordinating Commission  
[maggie.foree@hecc.oregon.gov](mailto:maggie.foree@hecc.oregon.gov) | 503-509-7194 (direct)

March 17, 2025

U.S. Department of Labor  
Employment and Training Administration  
Washington D.C.

**Re: Letter of Support for Oregon's State Apprenticeship Expansion Formula (SAEF) 3 Grant Application**

Dear Grant Review Committee,

I am writing on behalf of the Southwestern Oregon Workforce Investment Board (SOWIB) to express our enthusiastic support for the State of Oregon's application for the State Apprenticeship Expansion Formula (SAEF) 3 Grant under FOA-ETA-25-31. Our organization recognizes the critical role that registered apprenticeships play in workforce development and is fully committed to supporting Oregon's initiative aimed at enhancing, expanding, and ensuring the quality and growth of apprenticeship programs, particularly in Early Childhood Education (ECE).

SOWIB has been actively involved in workforce development efforts across Southwestern Oregon, including the successful launch and implementation of our Medical Assistant Apprenticeship Program. This initiative has provided valuable hands-on experience, career growth, and stable employment opportunities for participants, particularly in underserved communities. Building on the success of this program, expanded our efforts into Early Childhood Education. Our Early Care and Education Apprenticeship Programs offers structured training, mentorship, and educational pathways that lead to professional certification and long-term employment in ECE.

SOWIB is eager to collaborate with the Higher Education Coordinating Commission's Office of Workforce Investments to further the goals of this grant. We can offer expertise in developing apprenticeship frameworks, access to established networks of local employers and educational institutions, as well as direct mentorship opportunities for apprentices. Our team has experience in managing apprenticeship programs and will leverage this knowledge to ensure the success of the Early Childhood Education apprenticeship efforts.

We anticipate that the successful implementation of this grant will lead to a significant increase in the number of apprenticeships available in the early learning and care industry in Oregon, with higher completion rates and a more diverse and skilled workforce. The expansion of these apprenticeship programs will not only benefit individual apprentices by providing them with valuable, career-ready skills but will also meet the growing demand for qualified early childhood educators in our state. This will ultimately strengthen Oregon's economy by ensuring a well-trained and diverse workforce that is prepared to support the educational needs of young children.

We are confident that the funding from this grant will enable Oregon to achieve these objectives, and we look forward to contributing to this transformative effort. Thank you for considering Oregon's application for the SAEF3 grant. We wholeheartedly support this endeavor and are committed to its success.

*Sara Stephens*

Sara Stephens, Interim Executive Director

Southwestern Oregon Workforce Investment Board

541-290-9557



PO Box 415  
Coos Bay, OR 97420



844-532-6893



[www.sowib.org](http://www.sowib.org)

March 20, 2025



Dear Grant Review Committee,

I am writing to express Northwest Oregon Works' (NOW) unequivocal support for the SAEF3 grant opportunity in collaboration with the Higher Education Coordinating Commission (HECC). Since 2022, NOW has worked closely with HECC to pioneer and implement Behavioral Health Apprenticeships in our rural northwest Oregon communities, achieving remarkable success in workforce development and career advancement for Oregon residents.

Our partnership has yielded significant results, serving over 60 individuals through Qualified Mental Health Associate and Certified Alcohol and Drug Counselor pathways; however, the impact of our collaboration extends far beyond mere numbers. We have witnessed firsthand the transformative effect these apprenticeships have had on individuals' lives, providing them with the skills, knowledge, and credentials necessary to embark on fulfilling careers in the behavioral health and addiction recovery fields. This initiative has simultaneously strengthened our communities by addressing the pressing need for qualified professionals in these crucial sectors.

NOW is committed to continuing our support for these vital pathways. We firmly believe that the SAEF3 grant will play a pivotal role in ensuring the longevity and expansion of our successful partnership with HECC. This funding will enable us to sustain and enhance our apprenticeship programs, thereby continuing to provide life-changing opportunities to those entering the behavioral health workforce.

The ongoing behavioral health crisis in Oregon demands a strategic and collaborative response. Our partnership with HECC, bolstered by the SAEF3 grant, will allow us to tackle this challenge head-on, equipping a new generation of professionals with the tools they need to make a meaningful difference in our communities.

We respectfully urge the consideration of this grant opportunity, which will undoubtedly contribute to the continued success and growth of our behavioral health apprenticeship programs.

Sincerely,

A handwritten signature in dark ink that reads "Heather DeSart". The script is fluid and cursive, with the first letters of each word being capitalized.

Heather DeSart  
Executive Director  
Northwest Oregon Works



**BUREAU of LABOR & INDUSTRIES**  
1800 SW 1<sup>st</sup> Ave., Suite 500  
Portland, OR 97201

Oregon Bureau of Labor and Industries  
1800 SW 1<sup>st</sup> Ave., Suite 500  
Portland, OR 97201

March 14, 2025

U.S. DOL, Employment and Training Administration  
200 Constitution Avenue NW  
Washington, DC 20210  
Attn: SAEF3 Grant Program Office

Dear SAEF3 Competitive Grant Review Committee,

The Oregon Bureau of Labor and Industries (BOLI) is pleased to submit this letter for the State Apprenticeship Expansion Formula (SAEF3) grant funding. In partnership with the Oregon Higher Education Coordinating Commission (HECC), we seek to leverage this opportunity to enhance and expand Oregon's registered apprenticeship programs, aligning with the state's workforce development goals and the broader objectives of the U.S. Department of Labor.

BOLI, as Oregon's State Apprenticeship Agency (SAA) through the Apprenticeship & Training Division (ATD) in partnership with the Oregon State Apprenticeship & Training Council (OSATC), are committed to fostering a skilled, knowledgeable, and adaptable workforce. Our collaboration with HECC (acting as the lead agency for the application), the state's coordinating body for postsecondary education and training, positions us uniquely to integrate apprenticeship opportunities with educational and workforce development pathways, ensuring that Oregonians gain access to high-quality training and sustainable career opportunities.

Our proposed plan builds on Oregon's established apprenticeship framework, which currently supports over 12,000 apprentices across diverse industries such as construction, education, healthcare, and advanced manufacturing.

This initiative aligns with Oregon's strategic priorities to increase educational attainment and workforce participation, as outlined in HECC's mission to support pathways to post-secondary success. By funding BOLI's programmatic oversight of apprenticeships with HECC's extensive network of educational institutions and workforce partnerships, we aim to create scalable models that not only meet the immediate needs of Oregon employers and employees but also contribute to national registered apprenticeship expansion goals.

We look forward to working with the HECC through this collaborative opportunity to advance Oregon's registered apprenticeship ecosystem with the support of the U.S. Department of Labor.

Sincerely,

Jody Robbins, Apprenticeship State Director  
Oregon Bureau of Labor and Industries



TINA KOTEK  
GOVERNOR

March 25, 2025

Grant Review Committee  
U.S. Department of Labor  
200 Constitution Ave NW  
Washington, DC 20210

RE: State Apprenticeship Expansion Competitive Funding Opportunity

Members of the Grant Review Committee,

As Oregon's Governor, I fully support the Oregon Higher Education Coordinating Commission's (HECC's) application for the State Apprenticeship Expansion Competitive grant opportunity. This application would fund projects to expand apprenticeship across the State of Oregon. This initiative holds immense promise for addressing Oregon's critical workforce needs and providing opportunities for Oregonians in underserved communities. I believe that if funded, this project furthering my Administration's priorities around behavioral healthcare, education, and early learning through the development of low barrier pathways to high impact careers.

The "Advancing Educational Success Through Apprenticeship" project is poised to provide significant opportunities for registered apprentices. Funding will be administered by the HECC's Office of Workforce Investments to establish apprenticeship pathways within key industries, foster partnerships for ongoing success, and utilize enhanced data assessment to measure program effectiveness and address workforce needs effectively.

The specialized support available through this project will align with the evolving needs of Oregon's economy. Target industries and occupations will include Educational Services (K-12 Teachers), and the Care Economy (healthcare, childcare, etc.). These industries are vital for the state's economic competitiveness and the well-being of its communities.

The designated lead fiscal State entity for the project is the Oregon Higher Education Coordinating Commission (HECC). The Bureau of Labor and Industries (BOLI) as Oregon's state apprenticeship agency (SAA), Teacher Standards and Practices Commission (TSPC), Department of Early Learning, and the Oregon Health Authority are included as enthusiastic state agency partners.

I urge the Grant Review Committee to carefully consider the application submitted by HECC for approval. This project would make a transformative and outsized impact on workforce development in Oregon's most vital sectors, and a lasting improvement in the lives of thousands of Oregonians.

Sincerely,

Governor Tina Kotek



# **Attachment E: Payment Management System Access Letter**

(For payment draw-down and financial reporting)

## U.S. Department of Labor/ETA

Office of Grants Management

200 Constitution Avenue, N.W. – Room N-4716  
Washington, D.C. 20210



Dear Recipient:

Congratulations on your recent award. This document provides instructions on how to access your organization's funding, as well as how to submit quarterly ETA-9130 Financial Reports. Award recipients accomplish both tasks using the Payment Management System (PMS), operated by the U.S. Department of Health and Human Services (HHS).

### **All grant recipients must have an ID.me account to gain access to PMS.**

Establishing your ID.me account is the first step in the PMS process. User access requests for grant recipients will only be approved if you have an ID.me account. If you have questions related to creating an ID.me account or need technical assistance with accessing PMS via ID.me, instructions and additional guidance can be found at [https://xms.hhs.gov/help/job-aids/help\\_pages.html](https://xms.hhs.gov/help/job-aids/help_pages.html).

### **For Existing PMS Users**

If your organization has previously received a grant or cooperative agreement with ETA, a PMS account already exists, and it's where you can find your new grant award funding. The front page of your grant award will have the following information to help access your funding in PMS:

- The last eight digits of the Federal Award Identification Number (item 12) of the new grant or cooperative agreement (e.g., XX123456),
- Award amount (item 20), and
- The PMS Employer Identification Number (EIN) (item 3) (e.g., 1123456789X1) where the new grant or cooperative agreement funding resides under a payee account (e.g., 5h43B).

Recipients may add or amend account access and banking information using the links below.

- To add or remove PMS account access for your organization, please visit:  
<https://pms.psc.gov/grant-recipients/user-access.html>
- To add a bank account to your PMS account, please visit:  
<https://pms.psc.gov/grant-recipients/banking-add-change.html>
- Information on rejected banking requests, please visit:  
<https://pms.psc.gov/grant-recipients/banking-add-change.html>

### **For new PMS Users**

When issuing a grant award, a PMS account has been set up for your organization. A payee account (e.g., 5h43B) also has been established, and it's where you can find funding for your new grant award. The front page of your grant award will have the following information to access your account:

- The last eight digits of the Federal Award Identification Number (item 12) of the new grant or cooperative agreement (e.g., XX123456),
- Award amount (item 20), and
- The PMS Employer Identification Number (EIN) (item 3) (e.g., 1123456789X1) where the new grant or cooperative agreement funding resides under a payee account (e.g., 5h43B).

As a new PMS user, you will need to add or amend account access and banking information using the links below.

- To add or remove PMS account access for your organization, please visit:  
<https://pms.psc.gov/grant-recipients/user-access.html>
- To add a bank account to your PMS account, please visit:  
<https://pms.psc.gov/grant-recipients/banking-add-change.html>

All banking requests must include the SF-1199A Direct Deposit Sign-up form.

- When completing the SF-1199A, the Claim or Payroll ID Number is the organization's 12-digit PMS Employer Identification Number (EIN) which must match the 12-digit PMS EIN on the grant or cooperative agreement document.

### **Submitting Federal Financial Reports in PMS**

Recipients must report quarterly financial data on the ETA-9130 Financial Report, which is due as shown below:

<b>Quarter End Date</b>	<b>Quarterly ETA-9130 Due Date</b>
March 31	May 16
June 30	August 15
September 30	November 15
December 31	February 15

A final financial report for the last quarter of the period of performance must be submitted no later than 120 calendar days after the expiration of the grant period of performance. Additional information on financial reporting can be found in TEGL No. 16-22 and TEGL No. 16-22, Change 1.

Recipients must submit financial reports through PMS. Recipient staff who are submitting/certifying financial reports on behalf of their organization must log in to PMS and update their permissions to request access to the financial report forms.

- For general instructions on financial report submission, visit:  
<https://pms.psc.gov/grant-recipients/ffr-updates.html>
- Grant Recipients' financial reports can be found by: *Login PMS → select "Menu" → Federal Financial Reporting → Federal Financial Reporting.*
- A Financial Report User Guide can be found by: *Login PMS → select "Menu" → Federal Financial Reporting → FFR Grantee User Guide.*

### **PMS Help Desk**

If you need assistance with your PMS account, information on the PMS Helpdesk can be found at <https://pms.psc.gov/support/help-desk.html>.

- Please contact the PMS Help Desk at (877) 614-5533 or [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)
- Recipients may also submit a service ticket online and access more services using the Self-Service Web Portal at: [https://gditshared.servicenowservices.com/hhs\\_pms](https://gditshared.servicenowservices.com/hhs_pms)