

STATE APPRENTICESHIP EXPANSION, EQUITY, AND INNOVATION (SAEEI) GRANTS:

FREQUENTLY ASKED QUESTIONS (FAQs)

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SECTION I. GENERAL QUESTIONS

1. Where can I find a copy of the funding announcement for the SAEI grants?

The [Notice of Availability of Funds and Funding Opportunity Announcement FOA-ETA-21-07](#) provides grantees with key information on grant requirements, funding restrictions, expected outcomes, and reporting requirements.

2. What is the period of performance for the SAEI grant?

The period of performance for the SAEI grant is 48 months starting in July 2021 and running through June 2025.

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

Each SAEI grantee has been assigned a grant support team, which consists of the federal project officer (FPO), Registered Apprenticeship subject matter expert (SME), and a technical assistance (TA) coach. This grant support team provides comprehensive support in the areas of grant management, program and apprentice registration, and implementation of project goals. You can find details about the roles and responsibilities of each member of your grant support team in the [SAEI Grantee Orientation webinar](#) materials.

The Office of Apprenticeship (OA) has contracted with the American Institutes for Research (AIR), *formally Maher & Maher*, to provide TA to SAEI grantees. This assistance includes a TA coach, facilitated peer-to-peer calls, webinars, trainings, resources, and more. Consult the [TA menu of services](#) for more information.

The Employment and Training Administration (ETA) provides a number of resources on its [Apprenticeship web page](#) and maintains the [Apprenticeship Community at WorkforceGPS](#), which houses key resources and tools to support expansion of Registered Apprenticeship Programs.

There is also a [State Apprenticeship Grants Community](#) that provides grant-specific information and tools.

4. Whom do I ask if I have questions about my grant or need technical assistance?

Each grantee has a grant support team you can reach out to for help. You must include your grant number in any correspondence with OA and your FPO. Direct your request based on the table below.

Contact	Topic
TA coach	- Organizational structure and staffing - State leadership, policy, and partnerships - Outreach and business engagement - Expanding capacity to launch, register, and support programs - Building a pipeline of apprentices and increasing diversity - Aligning with career pathways and post-secondary education - Logic model refinement, expansion framework conceptualization
FPO	- Clarifications of the SAEEI funding opportunity announcement (FOA), including definitions - Statement of work (SOW) modifications - Fiscal questions, allowable expenditures, and budget - Quarterly Reports, quarterly performance outcomes relative to targeted outcomes - Other policy and grant management questions as they arise - Quarterly reporting questions
Apprenticeship SME	- Apprenticeship-related program questions - Program standards and registering programs - Coordinating activities with FPOs when and where possible - Keeping FPOs apprised of grant-related activity and potential programmatic issues - SMEs should not offer guidance on grant policy, grant management policy, cost allowability issues, performance reporting, or other issues that fall under the responsibility of the FPOs.
OA staff	- Overall guidance on apprenticeship grant programs - Approval of program and budget modifications - Clarifications of the SAEEI FOA, including definitions - Policy and grant questions posed/sent by the FPO on a grantee's behalf - Performance reporting questions

Contact	Topic
Other	- For technical questions related to Workforce Integrated Performance System (WIPS) reporting, use the WIPS Technical Assistance Request form. - If you wish to request a change to your grant point(s) of contact (POC or POCs) or have a policy question, you can contact OA at SAEEI.Grant@dol.gov. Please include your grant number in the subject line of any communication with OA. - For closeout questions, please direct questions to the closeout specialist identified in the closeout package materials sent to the authorized representative.

If you are not sure to whom to reach out, start with your FPO and your TA coach, and they will assist you.

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

5. How can I stay current on SAEEI grant policies and technical assistance?

OA provides updates on SAEEI grant policies via the [State Apprenticeship Expansion, Equity, and Innovation \(SAEEI\) Grant Resources page](#) on WorkforceGPS. Such grant policy updates are also included in the [Performance Reporting FAQs](#) document.

[Apprenticeship Connections](#) is a monthly newsletter for SAEEI grantees. It is the main source of ongoing communication regarding technical assistance, grant management, and reporting news. It often contains policy announcements and helpful grants management guidance.

Make sure that you keep OA apprised of any changes in your authorized representative and POCs indicated on the SF-424 included with the application—as policy and technical assistance email communications from OA and AIR are addressed to those contacts. (You can submit any changes to SAEEI.Grant@dol.gov; please include your grant number in the subject line.)

Finally, join the online [Apprenticeship](#) and [State Apprenticeship Grants](#) Communities to receive alerts when new SAEEI or general apprenticeship content is added. You will find the "Join Community" link on each community's landing page. WorkforceGPS is a good starting place to look for resources to address any TA needs you have. You will

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find new and critical information on the landing page, and a search function that allows you to look for any specific tools or topics of interest.

6. Does the Stevens Amendment require grantees to include the proportion of funds that came from federal grants and the names of those grants on all print outreach materials (like one-pagers or flyers where space is tight), or would a link to where to find that information online be sufficient?

The grant agreement provides sample language to use to meet this requirement. Grantees may follow that language as a guide to what is required. Stating exact proportions is not required.

See additional information related to the [Stevens Amendment](#).

7. Where can I find information about budget realignment and SOW modifications?

As a grantee, you can request budget realignment and/or SOW modifications from your FPO. The modification information outlined in the [ETA Grantee Handbook](#) (p. 32–42) describes the general process, which can vary slightly based on individual circumstances.

Please review and consult your FPO whenever there is a question about whether a particular change to either a budget or the SOW requires a modification request. Modifications are submitted to the FPO, who in turn works with the Program Office and the grant officer to review and process the request.

Grantees may also consult the [SAEEI Grantee Orientation webinar materials](#) for additional information on modifications.

SECTION II. ALLOWABLE AND REQUIRED GRANT ACTIVITIES

1. What activities are allowed under the SAEEI grant?

As stated in [FOA-ETA-21-07](#) (p. 4–15), grant funds can cover expenses related to establishing or expanding existing Registered Apprenticeship Programs, quality pre-apprenticeship programs leading to a Registered Apprenticeship Program, and wraparound/supportive services that enable participants to succeed in Registered Apprenticeship Programs or quality pre-apprenticeships that directly lead to a grant-funded Registered Apprenticeship Program. Up to 10 percent of grant funds may be used to provide supportive services to enrolled participants.

Activities funded under the SAEEI grant must support structures and resources to strengthen and improve access to Registered Apprenticeship Programs; improve data collection, data sharing, and data integrity; and diversify Registered Apprenticeship Programs.

Allowable activities are listed in [FOA-ETA-21-07](#) (p. 8–14).

2. Who is eligible for grant-funded services under the SAEEI grant?

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

Grantees must incorporate strategies to support or expand Registered Apprenticeship opportunities among all workers, including youth, women, people of color, formerly incarcerated individuals, individuals displaced by the COVID-19 pandemic, and persons with disabilities, as well as protected groups identified in [29 Code of Federal Regulations \(CFR\) Part 30](#).

See [FOA-ETA-21-07](#) (p. 21) for more information.

3. Can SAEEI grant funds be used to pay for participant wages?

No. It is prohibited to use SAEEI grant funds to pay participants' wages directly. However, according to [FOA-ETA- 21-07](#) (p. 44), SAEEI funds can be used to reimburse employers up to 50 percent of the wage rate of the participant in compensation for initially lower productivity of the individual and greater training needs. On-the-job training (OJT) contracts must be developed prior to the expenditure of grant funds.

4. Can SAEEI grant funds be used to support the development of pre-apprenticeship programs?

Yes. Grantees may use SAEEI funds to build pathways to Registered Apprenticeship Programs, including the development of quality pre-apprenticeship programs as defined in [Training and Employment Notice No. 13-12](#), Defining a Quality Pre-Apprenticeship Program and Related Tools and Resources.

As mentioned in [FOA-ETA-21-07](#) (p. 5), pre-apprentices cannot be considered participants for the purposes of the SAEEI grant, and pre-apprenticeship programs funded must directly lead to grant-funded Registered Apprenticeship Programs during the SAEEI grantee's period of performance.

5. What is co-enrollment, and how can we pursue co-enrollment strategies?

Co-enrollment is defined as enrolling a participant in more than one grant program, contract, or cooperative agreement that is funded with apprenticeship appropriated funds, and where they are receiving grant, contract, or cooperative agreement-funded participant services. Co-enrollment services can include training (such as related technical instruction [RTI] and OJT), supportive services, and other activities supported by ETA funds.

Co-enrollment is intended to maximize the number of resources available to participants in apprenticeship, while minimizing duplication of services. Co-enrollment is for the benefit of the participant and should only be used when one grant does not have enough resources to cover the participant's needs. As programs braid funds together to increase impact, they can show integration in the form of participant co-enrollment, including, but not limited to, co-enrollment in the Workforce Innovation and Opportunity Act (WIOA) Adult program, WIOA Youth program, YouthBuild, Job Corps, adult education, career and technical education, and vocational rehabilitation.

See the [Co-enrollment Policy FAQs](#) document and the [Co-enrollment Webcast](#) for more details and co-enrollment strategies. These FAQs do not apply to H-1B-funded apprenticeship grants (see [Apprenticeship Connections, August 2020](#)).

6. How should grantees spend down multiple grant awards?

If you have one or more apprenticeship grants (Apprenticeship State Expansion [ASE], State Apprenticeship Expansion [SAE] 2020, and/or SAEEI or any other U.S. Department of Labor [DOL] ETA apprenticeship grant or grants), you should not be exhausting funds awarded earlier prior to usage of newer grant funds. Grantees should be operating each grant project and spending down grant funds concurrently in support of each grant's unique goals, roughly in proportion to the percentage of time elapsed in a grant period of performance. See [Apprenticeship Connections, September 2020](#).

7. What types of supportive services can be funded under the SAEEI grant, and how can these services be funded?

[FOA-ETA-21-07](#) (p. 45) states supportive services provided under the SAEEI grant may include, but are not limited to, transportation, childcare, dependent care, housing, and any needs-related payments that are necessary to participate in education and training activities.

To receive supportive services under the SAEEI grant, a participant:

- Must receive grant-funded education or/and training activities such as OJT wage reimbursement, related technical instruction payment, or other allowable education and training activities.
- Must not be eligible to receive services under WIOA or other funding sources.
- May utilize supportive services during the quality pre-apprenticeship program, and services may continue after the participant leaves and enters a Registered Apprenticeship Program. These services may include counseling, transportation assistance, childcare, and rehabilitative services.

Funding for supportive services **may not exceed 10 percent** of SAEEI grant funds.

8. What are the requirements for licensing intellectual property under Creative Commons Attribution 4.0 for SAEEI grants?

As indicated in [Grant Requirements: Open Licensing and Intellectual Property](#), any intellectual property developed under a competitive award process must be licensed under a Creative Commons Attribution 4.0 (CC BY 4.0) license, which allows subsequent users to copy, distribute, transmit, and adapt the copyrighted work and attribute the work in the manner specified by the recipient.

The [Creative Commons FAQs](#) provide additional information regarding the attribution requirements for SAE, ASE, SAE 2020, and SAEEI grantees.

9. May you serve someone as a “participant” in a state expansion grant (e.g., pay for on-the-job learning [OJL] or RTI) if that person has already been reported as an “other individual impacted” in another state expansion grant?

An individual can only count toward the target outcome numbers for one state apprenticeship expansion grant. Grantees that are using grant funds from one state apprenticeship grant to develop Registered Apprenticeship Programs and grant funds from another state apprenticeship grant to pay for OJT, RTI, and/or supportive services for apprentices that enter those programs must be careful to report those apprentices only once. For instance, in a scenario where a person enrolls in a Registered Apprenticeship Program created using ASE grant funds and then receives RTI paid for a different RAP by SAEEI grant funds during the grant Period of Performance, the state must decide whether to report that individual as a “reportable individual” under ASE OR as a participant under SAEEI. For the purposes of the SAEEI grant program, eligible participants are persons 16 years of age and older who are not enrolled in a Registered Apprenticeship program at the time of initial grant service. Grantees can describe these situations in their Quarterly Narrative Report.

10. Once a pre-apprentice becomes a registered apprentice, may we count them toward the performance goal of the SAEEI grant?

Yes, grantees may report pre-apprentices as participants and count them toward meeting performance goals after they enroll in Registered Apprenticeship Programs.

See WorkforceGPS: [Apprenticeship Grants Performance Reporting](#).

SECTION III. GRANT GOALS, PERFORMANCE, AND OUTCOMES

1. What are the required performance goals for SAEEI grants?

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

Minimum Goals for Individuals Enrolled in Registered Apprenticeship Programs During the Grant Period	
Funding Request	Minimum Individuals Who Newly Enroll in a Registered Apprenticeship Program as a Result of the SAEEI Grant
\$2,000,000–\$3,999,999	500
\$4,000,000–\$5,999,999	750
\$6,000,000–\$7,999,999	1,000
\$8,000,000–\$10,000,000	1,250

See [FOA-ETA-21-07](#) (p. 16) for more detail.

SECTION IV. GRANT REPORTING REQUIREMENTS

1. What are the reporting requirements for the SAEEI grant?

All SAEEI grantees must submit Quarterly Narrative Reports (QNRs) and Quarterly Performance Reports (QPRs) every quarter throughout the life of the grant. **Quarterly Reports** are due to DOL ETA **no later than 45 days** after the end of each reporting quarter and must be uploaded to WIPS.

The table below provides the due dates for each reporting quarter throughout the period of performance. Reports not submitted by the due date will be considered late and not in compliance with grant requirements. Due dates are fixed, regardless of the day of the week on which they fall.

QUARTERLY REPORT DUE DATES		
Due Date	Quarter End Dates	Report Activities Occurring Between
November 15, 2021	September 30, 2021	July 1–September 30, 2021
February 15, 2022	December 31, 2021	October 1–December 31, 2021
May 15, 2022	March 30, 2022	January 1–March 30, 2022
August 15, 2022	June 30, 2022	April 1–June 30, 2022
November 15, 2022	September 30, 2022	July 1–September 30, 2022
February 15, 2023	December 31, 2022	October 1–December 31, 2022
May 15, 2023	March 30, 2023	January 1–March 30, 2023
August 15, 2023	June 30, 2023	April 1–June 30, 2023
November 15, 2023	September 30, 2023	July 1–September 30, 2023
February 15, 2024	December 31, 2023	October 1–December 31, 2023
May 15, 2024	March 30, 2024	January–March 30, 2024
August 15, 2024	June 30, 2024	April 1–June 30, 2024
November 15, 2024	September 30, 2024	July 1–September 30, 2024
February 15, 2025	December 31, 2024	October 1–December 31, 2024
May 15, 2025	March 30, 2025	January–March 30, 2025
August 15, 2025	June 30, 2025	April–June 30, 2025

A quarterly Financial Status Report (ETA 9130) is required until such time as all funds have been expended or the grant period has expired. Quarterly Reports are due 45 days after the end of each quarter. Grantees must use DOL's Online Electronic Reporting System.

ETA encourages grantees to review the [Performance Reporting page](#) on WorkforceGPS for general performance reporting guidance and updates.

2. Where can I find detailed information about reporting?

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

- [SAEEI Grants Reporting Resources](#)
- [Apprenticeship Grants Performance Reporting](#), which includes links to the [Performance Reporting Reference Guide](#) and [Performance Reporting FAQs](#)

3. What is the Quarterly Narrative Report, and how is it submitted?

The QNR is a written report reflecting grant program activities that complements the quantitative data reported on the QPR. Grantees can also report information that is not reflected on the QPR and identify technical assistance needs and/or grant program highlights from the latest reporting quarter.

SAEEI grantees should use the [QNR template](#) approved in May 2021. OA recommends grantees write and finalize their QNR in the Microsoft Word version of the report and upload the document into WIPS.

4. What is the Quarterly Performance Report, and how is it submitted?

The QPR is a snapshot of the grant's participants, services, and outcomes.

The QPR is generated in WIPS quarterly by a secure electronic data file upload of participant activity. QPRs must be submitted and certified by grantees in WIPS each quarter. It is important to note that the QPR and data elements were designed to serve existing programs and programs that may exist in the future. Grantees can report participants *only* in Registered Apprenticeship and in pre-apprenticeship activities that lead to Registered Apprenticeship.

The QPR will be generated from the participant data provided by grantees each quarter. Participant data are submitted in WIPS using a data file that is uploaded into the system. The data file must be in .csv, .txt, or .zip format. OA strongly recommends using the .csv format.

Reporting instructions and other reporting resources for both the QPR and individual records are available on the [Apprenticeship Community of Practice](#) area of WorkforceGPS.

5. Where can I find information about the system I must use to report quarterly performance information?

WIPS is an online, password-protected system that allows grantees to upload, certify, and submit their QPRs and QNRs to DOL as outlined in the grant agreement and funding vehicle. You can find more information and resources related to WIPS (including system access and system TA) at the DOL ETA [Workforce Integrated Performance System \(WIPS\) web page](#).

SAEEI grantees may find reporting resources, WIPS Designation Forms, and SAEEI Grantee Performance Accountability and Reporting webinar recording at the [Apprenticeship Grants Performance Reporting](#) page of WorkforceGPS.

6. If a Social Security number is not provided by an individual or employer, can a grantee still count the individual as a participant?

Grantees must request a Social Security number (SSN) from all participants. However, participants who decline to provide a SSN may not be denied grant services. If a participant declines to provide a SSN, grantees should complete PIRL 2700 (Social Security Number) with all Xs (e.g., XXXXXXXXX).

7. Can reportable individuals be included in the count of total participants served?

Yes. SAEEI grantees can include reportable individuals in the count of "Total Participants Served Who Enroll in a Registered Apprenticeship Program."

SECTION V. REGISTERED APPRENTICESHIP STRATEGIES

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

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

- [Element 1: State Leadership and Policy](#)
- [Element 2: Outreach and Business Engagement](#)
- [Element 3: Capacity to Develop, Register, and Support Programs](#)
- [Element 4: Development of and Support for Diverse Apprentice Pipelines](#)
- [Element 5: Alignment with Career Pathways and Post-Secondary Education](#)

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

In [Training and Employment Notice \(TEN\) No. 13-12](#), ETA provides a definition and quality framework for pre-apprenticeship developed in consultation with stakeholders in the apprenticeship and workforce communities and the public. States should use this framework to guide their work in expanding pre-apprenticeship programs. TEN No. 13-12 defines pre-apprenticeship as a program or set of strategies designed to prepare individuals to enter and succeed in a Registered Apprenticeship Program and that has a documented partnership with at least one, if not more, Registered Apprenticeship Program(s). A quality pre-apprenticeship program is one that incorporates the following elements:

- Approved training and curriculum,
- Strategies for long-term success,
- Access to appropriate support services,

- Activities or components to promote greater use of Registered Apprenticeship to increase future opportunities,
- Meaningful hands-on training that does not displace paid employees, and
- Facilitated entry into Registered Apprenticeship and/or articulation agreements for earning advanced credit/placement for skills and competencies already acquired.

Grantees can direct questions about pre-apprenticeship to their Registered Apprenticeship consultant and their TA coach.

3. What return on investment (ROI) information is available to support our communications with businesses?

[The Expanding Apprenticeship: ROI Community of Practice](#) web page houses ROI tools, articles, and videos produced in the United States, Europe, and Canada.

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

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

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

- Marketing the apprenticeship brand in a state or locality;
- Persuading employers to adopt apprenticeships;
- Aggregating demand for apprentices, particularly with small- and medium-sized employers that may not have the capacity to develop an apprenticeship program on their own;
- Helping employers through the design and administrative tasks required to establish an apprenticeship;

- Serving as sponsor of an apprenticeship program, taking responsibility for the administration of the program (thereby reducing the burden on employers); and/or
- Conducting or arranging OJT related to the apprenticeship occupation (RTI).

The U.S. Department of Labor recently awarded approximately \$22 million in contract investments to [12 Industry Intermediaries](#) to continue the Department's efforts to expand the number of apprenticeship opportunities in growing sectors across the country, including healthcare, advanced manufacturing, retail, hospitality, construction, and information technology. For assistance in connecting with one of these intermediaries, please contact your TA coach.

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

[Training and Employment Guidance Letter \(TEGL\) No. 13-16](#) provides information about provisions for Registered Apprenticeship in WIOA, including the automatic eligibility status of Registered Apprenticeship sponsors as eligible training providers, membership on state and local workforce boards, the use of WIOA funding to support Registered Apprenticeship, reporting on Registered Apprenticeship activity, and suggestions for coordinating with the Registered Apprenticeship system. [The Registered Apprenticeship Program Toolkit](#) also has extensive resources to support alignment between Registered Apprenticeship and the workforce system.

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

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

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

- Using WIOA Youth services for tutoring, mentoring, and work experience in combination with pre-apprenticeship and apprenticeship programs.

See [TEGL No. 13-16](#) (p. 11).

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

Federal funding for Registered Apprenticeship Programs is available through several federal agencies to support business investments in apprentices and to assist educators and intermediaries in strengthening the tie between training and employment through Registered Apprenticeship. For more in-depth information on each of these funding sources, consult [***The Federal Resources Playbook for Registered Apprenticeship***](#).