

TECHNICAL ASSISTANCE

DWD Technical Assistance 2026-01: State Apprenticeship Expansion Formula, Round 3 (SAEF3)– Competitive Grant Subaward Guidance

Date: 08/19/2026

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Program: DWD Work-Based Learning and Apprenticeship

PURPOSE

To provide guidance specific to the United States Department of Labor (USDOL) State Apprenticeship Expansion Formula (SAEF3) competitive grant for eligible subrecipients.

This Technical Assistance document is designed to be a supplemental guidance to DWD's *United States Department of Labor (DOL) Apprenticeship Grants* policy. Subrecipients are expected to be knowledgeable of and adhere to all applicable requirements set forth in that policy.

REFERENCES¹

- 29 CFR 29 and 30.2
- DOL Employment and Training Administration, *Funding Opportunity Announcement FOA-ETA-25-31, Amendment One*²
- ApprenticeshipUSA, *Registered Apprenticeship Program*³
- Office of Apprenticeship Bulletin (OAB) 2023-42 *Registered Apprenticeship Eligibility with Respect to United States (U.S.) Citizenship*
- TEGL 23-19, Change 3: *Guidance for Validating Required Performance Data Submitted by Grant Recipients of U.S. Department of Labor (DOL) Workforce Programs*
- DWD TA 2025-05: *Department of Workforce Development Certified Pre-Apprenticeship Programs*
- DWD Policy 2022-09, Change 2: *United States Department of Labor (DOL) Apprenticeship Grants*
- DWD Policy 2023-05: *Maintaining Data Integrity in Workforce Programs*
- DWD Policy 2022-06: *Non-formula Grant Performance Management*
- DWD Policy 2024-07, Change 1: *State and Local Subrecipient Monitoring Requirements*

¹ Including all future document versions.

² <https://www.dol.gov/sites/dolgov/files/ETA/grants/2025%20PDFs/SAEF3%20FOA-ETA-25-31%20Amendment-One.pdf>

³ <https://www.apprenticeship.gov/employers/registered-apprenticeship-program#:~:text=What%20is%20a%20Registered%20Apprenticeship.their%20skills%20and%20productivity%20increase>

DEFINITIONS

DWD Certified Pre-Apprenticeships⁴ (PRAPS) are recognized as meeting key quality standards as established by DWD Work-Based Learning and Apprenticeship (DWD WBLA). DWD WBLA provides oversight and leadership for all certified PRAPs. Only DWD WBLA certified PRAPs are recognized by the State of Indiana and eligible for federal funding.

On-the-Job-Learning (OJL)⁵ means paid training that includes a structured process to ensure apprentices obtain the skills and knowledge they must learn over the course of the program to be fully proficient in the occupation. The term of apprenticeship for an individual apprentice may be measured through the completion of at least 2,000 hours of the industry standard for OJL (time-based approach), the attainment of competency (competency-based approach), or a blend of the time-based and competency-based approaches (hybrid approach).

Pre-Apprenticeship Program (PRAP)⁶ means a training model designed to assist individuals who do not currently possess the minimum requirements for selection into an apprenticeship program to meet the minimum selection criteria established in a program sponsor's apprenticeship standards⁷ and which maintains at least one documented partnership with a Registered Apprenticeship program. It involves a form of structured workplace education and training in which an employer, employer group, industry association, labor union, community-based organization, or educational institution collaborates to provide formal instruction that will introduce participants to the competencies, skills, and materials used in one or more apprenticeable occupations.

Registered Apprenticeship (RA)⁸ is an industry-driven, high-quality career pathway where employers can develop and prepare their future workforce, and individuals can obtain paid work experience with a mentor, receive progressive wage increases, classroom instruction, and a portable, nationally recognized credential. Registered Apprenticeships are industry-vetted and approved and validated by the U.S. Department of Labor or a State Apprenticeship Agency.

Related Technical Instruction (RTI)⁹ is an organized and systematic form of instruction designed to provide the apprentice with knowledge of theoretical and technical subjects related to the apprentice's occupation. Such instruction may be given in a classroom, through occupational or industrial courses, or by correspondence courses of equivalent value, electronic media, or other forms of self-study approved by the DOL Office of Apprenticeship.

⁴ See DWD's *Department of Workforce Development Certified Pre-Apprenticeship Programs* technical assistance for additional guidance.

⁵ 29 CFR 29.5(b)(2).

⁶ 29 CFR 30.2.

⁷ As required under 29 CFR Part 29.

⁸ ApprenticeshipUSA, *Registered Apprenticeship Program*.

⁹ <https://www.apprenticeship.gov/sites/default/files/apprenticeship-requirements-reference-guide.pdf>.

SAEF3 Participant¹⁰ means an individual who has received a SAEF3 grant-funded service after a determination of eligibility, and for whom, the sub-recipient will collect all relevant data for performance reporting purposes.

CONTENT

Funding for this grant is provided through the U.S. Department of Labor, Employment and Training Administration, Office of Apprenticeship's State Apprenticeship Expansion Formula (SAEF3) grant, awarded to the Indiana Department of Workforce Development.

The goals of this grant are to build upon the work of previous DOL Office of Apprenticeship (OA) grants in advancing Registered Apprenticeship as a workforce development strategy and increasing Indiana's capacity to engage industry, create RAP opportunities, and meet the demand for emerging industries, specifically in education and advanced manufacturing and logistics.

Grant funding must be used to strengthen and expand Registered Apprenticeship and Certified Pre-Apprenticeship in the Education and Advanced Manufacturing sectors with a primary focus on RTI costs during the period of performance (07/01/2025 06/30/2028).

SAEF3 Grant Elements

Eligible Subrecipients

The following entities are eligible to apply and must either have or obtain registered bidder status with Indiana and must maintain an active SAM registration¹¹ through the grant period.

- Registered Apprenticeship Intermediary Organizations
- Accredited Postsecondary Institutions
- Local Workforce Development Boards
- Current Group Sponsors
- Trade Associations
- Other qualified nonprofit or public entities capable of meeting program responsibilities

All eligible applicants must apply with at least one employer partner that is currently employing individuals who are in a Registered Apprenticeship or a DWD Certified Pre-Apprenticeship or will be applying for a Registered Apprenticeship or a DWD Certified Pre-Apprenticeship within six months after application. Partners must be employers within the State of Indiana and be in good standing with the state.

¹⁰ FOA-ETA-25-31.

¹¹ <https://sam.gov/>.

Grant Funding Categories

Education	Advanced Manufacturing
Teacher RTI	Machine Tool (CNC Machining)
Teacher RTI	Industrial Electrical (PLC)
Paraeducator RTI	Industrial Maintenance
Paraeducator RTI	Industry (Smart Tech/AI)
Counselor RTI	Quality Control & Logistics
Principal RTI	Robotics
DWD Certified PRAP	DWD Certified PRAP

Note: All participants must be enrolled in a U.S.DOL RAP or a DWD Certified PRAP.

Participant Eligibility¹²

- Individuals must be 16 years of age or older at the time of program entrance;
- Be authorized to work in the United States;¹³
- Newly enrolled into a RAP and/or DWD Certified PRAP during the SAEF3 competitive grant period of performance; and
- Funded activities must be RTI-based.

NOTE: The target population for this funding opportunity will be merit-based. The grant opportunity aims to engage and grow talent pipelines and programs across the state.

Use of Funds/Activities

SAEF3 Grant funds are to be used for DWD Certified PRAP and/or DOL RAP apprentices receiving RTI or classroom instruction that complement the OJL components of the program.

Examples of Allowable Costs

- RTI Funding includes:
 - Class Tuition
 - Testing/certification/licensure fees
 - Tools, books, and required materials
- Mentoring:
 - Structured mentor training
 - Stipends for qualified mentors
- Case Management:
 - Program management
 - Compliance and reporting
 - Grant required data entry
 - Audit-ready recordkeeping

Examples of Disallowed Costs¹⁴

- Wage subsidies
- Costs outside approved scope

¹² See **Attachment B** for documentation guidance.

¹³ OAB 2023-42.

¹⁴ **NOTE:** This is not an all-inclusive list.

- Supplanting of other committed funds

Performance

Success of the grant is evidenced by the following:

- Number of new RAPs;
- Expansion of existing RAPs;
- The number of program participants assisted in a RAP or PRAP; and
- Federal Performance Indicators.

NOTE: Specific performance numbers for individual subrecipients will differ depending on the categories applied for and awarded. Individual subrecipient performance expectations will be delineated in the grant agreement.

Participant Outcomes and Program Performance Indicators

Participant Outcomes	Federal Performance Indicators ¹⁵
Total number of participants enrolled	Employment Rate – 2nd Quarter After Program Exit
Education Sector RA Program	Employment Rate – 4th Quarter After Program Exit
Advanced Manufacturing Sector RA Program	Median Earnings – 2nd Quarter After Program Exit
Education Sector PRAP Program	Credential Rate Attainment
Advanced Man. Sector PRAP Program	Measurable Skill Gains

Grant Data Collection

Participant-Related Activities

Grant subrecipients are required to collect, track, and report on relevant participant data in DWD's case management system¹⁶ for all participants that receive grant-funded services after a determination of eligibility to meet Federal grant reporting requirements.

Employer-Related Activities

Subrecipients must ensure employer and/or community partner outreach is documented within DWD's Customer Relationship Management System (CRM) as it pertains to SAEF3 grant-related engagement.

NOTE: All RAP participants must be entered into the Registered Apprenticeship Partners Information Database System (RAPIDS) by the Registered Apprenticeship Sponsor.

¹⁵ As negotiated by the State of Indiana.

¹⁶ See DWD's *Maintaining Data Integrity in Workforce Programs* policy for additional data entry guidance. NOTE: There may be alternative data entry processes depending on the type of subgrantee. For additional information contact wbl@dwd.in.gov.

Quarterly Subrecipient Reports and Grant Technical Performance Reviews Reports

Grant subrecipients will be required to report grant activities, expenditures, and performance outcomes on a quarterly basis.¹⁷ All Quarterly Reports will be completed on a template that will be provided to subrecipients. Completed reports must be submitted to GrantManagerTeam@dwd.in.gov.

The following sections must be included:

- **Performance Progress Report (Narrative):** The subrecipient must provide a quarterly narrative report detailing the status of all activities outlined in the approved Scope of Work.
- **Quarterly Financial Data** must be submitted quarterly, reporting on expenditures incurred during the reporting period.
- **Data and Evaluation Reporting:** The subrecipient must report on the quantitative performance metrics and evaluation data for assigned performance objectives

DWD Work-Based Learning and Apprenticeship Technical/Performance Review¹⁸

Review results will be shared with each subrecipient. The review may result in requiring the subrecipient to provide additional information regarding apprenticeship activities, such as:

- Program Standards;
- Apprentice Agreements;
- Organizational/Program Policies;
- Organizational Trainings provided to staff; and
- Organizational Adherence to Equal Employment Opportunity¹⁹.

In the event a subrecipient does not meet quarterly performance deliverables, DWD WBLA may implement any or all interventions described below:

- Individualized technical assistance;
- More frequent grant progress reviews and review meetings;
- If the issue is common across grantees, statewide roundtables may be implemented to identify contributing factors and collaboratively develop appropriate resolution strategies;
- Development of an improvement plan; and/or
- Other interventions deemed appropriate by DWD.

Subrecipient's that continually perform below standard may be subject to any or all the following:

- Grant funds may be frozen until performance is within acceptable levels;

¹⁷ See **Attachment A** for additional guidance.

¹⁸ See DWD's *Non-formula Grant Performance Management* policy for additional guidance.

¹⁹ 29 CFR Parts 29 and 30- Labor Standards for the Registration of Apprenticeship Programs and Equal Employment Opportunity in Apprenticeship and Training.

- Funds may be withdrawn for redistribution; and/or
- Access to future non-formula grant opportunities may be restricted.

Payment Process

Reimbursement

Funds will be provided on a reimbursement-basis, based on actual program costs incurred by the RTI provider, per enrolled apprentice or certified pre-apprentice.

The grant subrecipient will submit invoices for reimbursement, at minimum, on a quarterly basis for actual allowable costs incurred during the performance period. Reimbursement will not exceed the total award amount specified in the grant agreement. Payment requests must be submitted according to the instructions provided in the grant agreement no later than 15 days after the end of each quarter.

Annual State Monitoring

In addition to the technical reviews described above, grant performance outcomes will be reviewed and assessed during routine DWD subrecipient monitoring²⁰ and may result in monitoring findings, including questioned or potentially disallowed costs, and corrective action requirements.

ACTION

The grant subrecipient and their staff will adhere to applicable state and federal laws and regulations as well as all applicable DWD policies during the execution of the SAEF3 Grant.

ATTACHMENTS

Attachment A – Subrecipient Quarterly Report Details

Attachment B – Apprenticeship Grant Eligibility Documentation

ADDITIONAL INFORMATION

Questions regarding the content of this publication should be directed to policy@dwd.in.gov.

²⁰ See DWD's *State and Local Subrecipient Monitoring Requirements* policy for additional guidance.

ATTACHMENT A

SUBRECIPIENT QUARTERLY REPORT DETAILS

Quarterly reports will be sent to the Grants Management Team via email,²¹ on or before their dates due. The table below identifies when quarterly reports are due.

Quarterly Reporting Timelines

Quarters	Quarters Begins	Quarter Ends	Quarterly Reports Due
Jan, Feb, March	Jan 1st	March 31st	April 15th
April, May, June	April 1st	June 30th	July 15th
July, Aug, Sept	July 1st	Sept 30th	Oct 15th
Oct, Nov, Dec	Oct 1st	Dec 31st	Jan 15th

Note: If the due date falls on a weekend or holiday, then the due date would be the next workday. *Example:* The first quarterly report's due date is a Saturday; the actual due date is moved to the following Monday.

²¹GrantManagerTeam@dwd.in.gov.

ATTACHMENT B

APPRENTICESHIP GRANT ELIGIBILITY DOCUMENTATION²²

Eligibility Criteria	Eligibility Definition	Source Documentation
Age²³	Age 16 or older	• Driver's License • Baptismal Record • Birth Certificate • DD-214 • Report of Transfer or Discharge Paper • Federal, State, Local or Tribal Identification Card • Passport • Hospital Record of Birth • Public Assistance/Social Service Records • School Records or ID Cards • Work Permit • Family Bible • Cross-Match with State Agency Records • Justice System Records • Selective Service Registration • Signed Letter from a parent or guardian • Medical Records A copy must be saved to the participant's electronic file in DWD's case management system.
Authorized to Work in the United States	Work Authorization	The USCIS Form I-9 provides a list of acceptable documents that can be used to verify an individual's authorization to work in the United States. NOTE: The form does not need to be completed. A copy of the valid documentation must be saved to the participant's electronic file.

²² TEGL 23-19, Change 3, as applicable.

²³ TEGL 23-29, Change 3.

Approved DOL Registered Apprenticeship Program	Registered Apprenticeship must be an approved program through the Federal Department of Labor.	Verification of Approved Program: Copy of Registered Apprenticeship Standards, 671 section I, to include DOL's approval and signature. A copy of documentation used for above verification must be saved to the participant's electronic file.
Actively Participating Apprentice	Individual participant understands and agrees to participate in the prescribed DOL Registered Apprenticeship Program	Verification of Individual's Participation: Fully completed and signed Apprentice Agreement form 671 section II. A copy of documentation used for above verification must be saved to the participant's electronic file.