



**STATE APPRENTICESHIP EXPANSION (SAE) GRANT**

**AWARD NUMBER AP-30077-16-60-A-18**

**REQUEST FOR APPLICATION**

**FOR**

**EXPANDING REGISTERED APPRENTICESHIP (RA) AND**

**QUALITY PRE-APPRENTICESHIP PROGRAMS IN INDIANA**

## **(May 8, 2019 through October 31, 2020)**

### **BACKGROUND**

On October 21, 2016, the Indiana Department of Workforce Development (DWD) was awarded an ApprenticeshipUSA State Expansion Grant (SEG) from the U.S. Department of Labor (USDOL) to expand Registered Apprenticeship (RA) programs throughout Indiana. As part of the State Apprenticeship Expansion (SAE) grant, award number AP-30077-16-60-A-18, the original grant will be extended through October 31, 2020. This additional grant is to support RAs and programs that may lead to RA opportunities.

The awarded grant is designed to help states develop and implement comprehensive strategies to support apprenticeship expansion. The grants are also intended to engage industry and workforce intermediaries, employers, and other partners to expand and market the apprenticeship model of training to new sectors and underserved populations. Indiana will utilize the funding to enhance the state's capacity to conduct outreach and work with workforce intermediaries, employers, and other partners to start new apprenticeship and quality work-based learning programs that may lead to RAs.

### **PURPOSE**

The purpose of this Request for Application (RFA) is to solicit applications from existing and emerging apprenticeship, pre-apprenticeship, and work-based learning programs for sub-grant funding. The SAE sub-grant applicants should focus their work on:

- Engaging industry and education partners to expand the apprenticeship model of training to new non-traditional employment sectors and populations; and/or
- Development of innovative ways to assist employers in developing apprenticeship programs as a viable pipeline of skilled workers; and/or
- Identifying ways to promote apprenticeships to underserved populations (e.g., women, minorities, high school students) and advance greater inclusion and diversity in apprenticeships; and/or
- Creating or expanding quality pre-apprenticeship (work-based learning) programs (for both high school aged youth and adults).

### **GRANT AWARD**

DWD will sub-grant up to \$900,000, which will be awarded based upon the strength of individual applications. DWD reserves the right to adjust individual award amounts based upon performance and timelines. Awards will be made based upon an applicant's plans to increase diversity within Indiana RA and quality pre-apprenticeship programs in terms of age, ethnicity, gender, socio-economic status, and employment sector, as well as an applicant's strategies to engage industry, education, and community partners to expand apprenticeships in Indiana's

key economic sectors of advanced manufacturing, health sciences, construction, IT, transportation/logistics, and agriculture.

## **ELIGIBILITY INFORMATION**

Eligible applicants are any education and workforce partners/organizations, not-for-profits, community-based organizations, or employers/companies. This list is not exhaustive and DWD welcomes all to apply.

In order to be eligible for a grant award, the grantee will be required to comply with all applicable laws, regulations, and policies, a summary of which is appended hereto as Exhibit 2. By submitting an application, the applicant affirms it has reviewed Exhibit 2 and can comply with all requirements therein if it is selected as a grant recipient.

## **USE OF GRANT FUNDS**

An applicant is required to submit an application that describes the proposed use of grant funds, timelines for completion, projected outcomes, and detailed narratives of costs for each activity. Administrative costs are limited to ten-percent (10%) of the award amount. Eligible expenses could include, but are not limited to, work-and-learn training and supportive services, as well as those listed in the sample budget/budget narrative in Exhibit 1.

## **APPLICATION SUBMISSION AND REQUIREMENTS**

### **SUBMISSION OF APPLICATION**

The application, including all required documents and attachments, must be sent via e-mail to Brittany Van Hook, Operations Coordinator, at [bvanhook1@dwd.in.gov](mailto:bvanhook1@dwd.in.gov) and received by **4 p.m. EDT on April 8, 2019**. Applications, including signatures, must be submitted in PDF format.

Applications received after the date and time listed above will be deemed non-responsive and will be rejected. Applications sent via fax or United States Postal Service (USPS) mail will not be accepted. Applications sent via fax or USPS mail will be deemed non-responsive and will be rejected.

## KEY DATES

Event	Date
Release of RFA	March 11, 2019
Deadline to Submit Questions	March 18, 2019
Responses to Written Questions	March 22, 2019
Submission Due Date for Applications	April 8, 2019 by <b>4 p.m. EDT</b>
Anticipated Notice of Award Date	April 26, 2019
Anticipated Grant Start Date	May 8, 2019
Anticipated Grant End Date	October 31, 2020

## APPLICATION

The application is limited to fifteen (15) pages, formatted as follows:

- Double-spaced,
- Single-sided,
- 8.5 x 11 inch page size,
- 12-point text font, and
- 1-inch margins.

Any materials beyond the specified page limit will not be reviewed. Applicants should number the application beginning with page number 1.

## ATTACHMENTS

In addition to the application, an applicant must submit the following attachments:

- An 'Application Information Sheet,' which shall contain the following:
  - Name of the applying organization;
    - If a consortium of organizations or regional partners is partnering for an application, please list the fiscal agent as the main applying organization.
  - Address;
  - Phone Number; and
  - Contact name and information.
  - If applicable, list the branch office or other subordinate element that will perform or assist in performing the work. Indicate whether it operates as an individual, partnership, or corporation. If it operates as a corporation, include the state in which it is incorporated. If applicable, the proposal must state whether the organization is licensed to operate in the State of Indiana.
- A work plan and implementation schedule, including staff responsibility, expected milestones, and projected outcomes.
- A Budget and Budget Narrative (see sample in Exhibit 1).

Please note any requested attachments will not count towards the fifteen (15) page limit indicated above. All attachments are required to be submitted together with the application by the application deadline.

In the event an application lacks the required attachments listed above or the attachments are incomplete, the application will be deemed non-responsive and will be rejected.

**QUESTIONS REGARDING THE RFA**

Applicants may submit questions via email to Brittany Van Hook at [bvanhook1@dwd.in.gov](mailto:bvanhook1@dwd.in.gov).

All questions shall be clearly identified and marked "Questions Relating to SAE-R2" in the subject line. To ensure a response prior to the submission due date for applications, questions must be received by **March 18, 2019**.

A final list of questions and answers will be posted by March 22, 2019, on the DWD website at [www.in.gov/dwd](http://www.in.gov/dwd).

**EVALUATION CRITERIA**

This section identifies and describes the criteria that will be used for each category to evaluate the application. DWD will award points based on how well an applicant fully demonstrates its approach and/or qualifications. It is recommended that applicants structure their application around the evaluation criteria and sub-criteria in the same order in which they are listed and described below:

<b>CRITERION</b>	<b>TOTAL POSSIBLE POINTS</b>
1. Management (Program Delivery)	50
(a) Strategic Approach – Primary Focus, Rationale, and Objectives	(35)
(b) Staff Capacity	(15)
2. Quality, including sustaining and supporting multiple entry points into programming	25
3. Partnership Commitment and Resources	20
4. Budget / Budget Narrative	5

1. Management – Program Delivery (50 points)
  - a. Strategic Approach – Primary Focus, Rationale, and Objectives (Total of 35 points)
    - The applicant shall include a clear, concise, detailed, descriptive plan that includes the organization’s mission and structure for creating or expanding apprenticeship and pre-apprenticeship programs.

- The application shall include a clear and compelling description of the need for funding. Describe the proposed use(s) of grant funds, timeline(s) for completion, persons responsible for implementation of each activity or phase(s) of an activity, and detailed cost(s) associated with each activity.
- b. Staff Capacity (Total of 15 Points)
  - List the professional and support positions and number of personnel in each position.
- 2. Quality and Demonstrated Experience (Total of 25 points)
  - Include types of programming and overall scope of program. Details of outcomes and certifications achieved, dual credits and credentials earned, occupations trained for, and wages earned throughout the program.
- 3. Partnerships and Commitments (Total of 20 points)
  - Discuss the partners with whom the applicant is planning to collaborate and identify the nature of the partnership (including informal arrangements, such as cross-staff training, shared data, cross-referral, and formal agreements such as MOUs) and resources available to the partnership.
- 4. Budget / Budget Narrative (Total of 5 points)
  - Include a budget and budget narrative, which shall contain a concise narrative explanation to support the budget request.

## **REVIEW OF APPLICATIONS AND GRANT AWARD PROCESS**

Each application will be checked for the presence or absence of required information. The review committee will be comprised of members from DWD and USDOL. Notice of Grant Award and contracts will be distributed to chosen applicants shortly after the Anticipated Award Date of April 26, 2019.

## EXHIBIT 1 – SAMPLE BUDGET AND BUDGET NARRATIVE

**Please Note:** Applicant must provide a budget and detailed budget narrative that breaks down use of requested funds.

Administrative Costs:

Salaries/Benefits:

Contract Services:

Travel:

Materials/Supplies:

Miscellaneous:

Equipment Purchases:

**Total \$**

## EXHIBIT 2 – APPLICABLE LAWS, REGULATIONS, AND POLICIES

1. Applicable Law
  - A. The applicable federal and state statutes, rules, and regulations, which may be amended from time to time, for the Grant funds are as follows:
    - 1) National Apprenticeship Act of 1937, 29 USC §50 *et seq.*;
    - 2) Labor Standards for the Registration of Apprenticeship Programs, 29 CFR Part 29.1-29.14;
    - 3) Equal Employment Opportunity in Apprenticeship and Training, 29 CFR Part 30.1-30.19;
    - 4) Workforce Innovation and Opportunity Act, 29 USC §3101 *et seq.* PL 113-128;
    - 5) Workforce Innovation and Opportunity Act regulations, 20 CFR §675.100 *et seq.*;
    - 6) Wagner-Peyser Act, 29 USC §49; as amended by PL 113-128, Sec 301 *et seq.*;
    - 7) Establishment and Functioning of State Employment Services, 20 CFR §652.1 *et seq.*;
    - 8) Nondiscrimination and Equal Opportunity provisions of the Workforce Innovation and Opportunity Act;
    - 9) Job Counseling, Training and Placement Services for Veterans, 38 USC §4100 *et seq.*;
    - 10) Employment and Training of Veterans, 38 USC §4211 *et seq.*;
    - 11) Fair Labor Standards Act, 29 USC §201 *et seq.*;
    - 12) Department of Workforce Development, IC 22-4.1 *et seq.* and accompanying rules, regulations, and policy directives;
    - 13) Trade Act of 1974, as amended, 19 USC §2771 *et seq.*;
    - 14) Trade Adjustment Assistance Regulations, 20 CFR §617.1 *et seq.* and §618.890;
    - 15) Office of Management and Budget Uniform Guidance, 2 CFR §200 and §2900 *et seq.*;
    - 16) Nondiscrimination requirements contained in 29 CFR Parts 31, 32, 35, 36 and 38; and
    - 17) Federal Grant, AP-30077-16-60-A-18.
2. Audits
  - A. Grantee shall submit to an audit of funds and shall make all books, accounting records, and other documents available at all reasonable times during the term of the grant and for a period of three (3) years after final payment, or until the date of the management letter if an audit is performed, for inspection by the State or its authorized designee. Copies shall be furnished to the State at no cost.
  - B. If required by applicable provisions of the Office of Management and Budget (OMB) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 CFR §200.0 *et seq.*, or if requested by the State, annually and following the expiration of the grant, the Grantee shall arrange for a financial and compliance audit of funds provided by the State pursuant to the grant.



3. Compliance with Laws

- A. The Grantee shall comply with all applicable federal, state, and local laws, rules, regulations, and ordinances.
- B. The Grantee and its agents shall abide by all ethical requirements that apply to persons who have a business relationship with the State as set forth in IC §4-2-6, *et seq.*, IC §4-2-7, *et seq.*, and the regulations promulgated thereunder. If the Grantee has knowledge, or would have acquired knowledge with reasonable inquiry, that a state officer, employee, or special appointee, as those terms are defined in IC 4-2-6-1, has a financial interest in the grant, the Grantee shall ensure compliance with the disclosure requirements in IC 4-2-6-10.5 prior to the execution of the grant. If the Grantee is not familiar with these ethical requirements, the Grantee should refer any questions to the Indiana State Ethics Commission, or visit the Indiana State Ethics Commission website at <http://www.in.gov/ethics/>.
- C. The Grantee certifies by entering into a grant agreement that neither it nor its principal(s) is presently in arrears in payment of taxes, permit fees, or other statutory, regulatory, or judicially required payments to the State. The Grantee agrees that any payments currently due to the State may be withheld from payments due to the Grantee.
- D. The Grantee warrants that it has no current, pending, or outstanding criminal, civil, or enforcement actions initiated by the State, and agrees that it will immediately notify the State of any such actions.
- E. The Grantee warrants that the Grantee and any contractors performing work in connection with the Project shall obtain and maintain all required permits, licenses, registrations, and approvals, and shall comply with all health, safety, and environmental statutes, rules, or regulations in the performance of work activities for the State.
- F. The Grantee affirms that, if it is an entity described in IC Title 23, it is properly registered and owes no outstanding reports to the Indiana Secretary of State.
- G. As required by IC §5-22-3-7:
  - 1) The Grantee and any principals of the Grantee certify that:
    - (A) The Grantee, except for de minimis and nonsystematic violations, has not violated the terms of:
      - (i) IC §24-4.7 [Telephone Solicitation Of Consumers];
      - (ii) IC §24-5-12 [Telephone Solicitations]; or
      - (iii) IC §24-5-14 [Regulation of Automatic Dialing Machines];in the previous three hundred sixty-five (365) days, even if IC §24-4.7 is preempted by federal law; and
    - (B) The Grantee will not violate the terms of IC §24-4.7 for the duration of any grant agreement, even if IC §24-4.7 is preempted by federal law.
  - 2) The Grantee and any principals of the Grantee certify that an affiliate or principal of the Grantee and any agent acting on behalf of the Grantee or on behalf of an affiliate or principal of the Grantee, except for de minimis and nonsystematic

violations,

(A) has not violated the terms of IC §24-4.7 in the previous three hundred sixty-five (365) days, even if IC §24-4.7 is preempted by federal law; and

(B) will not violate the terms of IC §24-4.7 for the duration of any grant agreement even if IC §24-4.7 is preempted by federal law.

4. Confidentiality of State Information

A. The Grantee understands and agrees that data, materials, and information disclosed to the Grantee may contain confidential and protected information. The Grantee covenants that data, material, and information gathered, based upon or disclosed to the Grantee for the purpose of any grant agreement, will not be disclosed to or discussed with third parties without the prior written consent of the State.

B. The services to be performed by the Grantee for the State under this Grant Agreement may require or allow access to data, materials, and information containing Social Security numbers or other personal information maintained by the State in its computer system or other records. In addition to the covenant made above in this section and pursuant to 10 IAC 5-3-1(4), the Grantee agrees to comply with the provisions of IC 4-1-10 and IC 4-1-11. If any Social Security number(s) or personal information (as defined in IC 4-1-11-3) is/are disclosed by the Grantee, the Grantee agrees to pay the cost of the notice of disclosure of a breach of the security of the system in addition to any other claims and expenses for which it is liable.

5. Debarment and Suspension

A. The Grantee certifies that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from entering into a grant agreement by any federal agency or by any department, agency, or political subdivision of the State. The term "principal" these purposes means an officer, director, owner, partner, key employee, or other person with primary management or supervisory responsibilities, or a person who has a critical influence on, or substantive control over, the operations of the Grantee.

B. The Grantee certifies that it has verified the state and federal suspension and debarment status for all sub-grantees receiving funds under the grant and shall be solely responsible for any recoupment, penalties, or costs that might arise from use of a suspended or debarred sub-grantee.

6. Drug-Free Workplace Certification

A. As required by Executive Order No. 90-5, April 12, 1990, issued by the Governor of Indiana, the Grantee shall agree to make a good faith effort to provide and maintain a drug-free workplace.

7. Employment Eligibility Verification

A. As required by IC §22-5-1.7, the Grantee shall utilize the E-Verify program as follows:

- 1) The Grantee has enrolled and is participating in the E-Verify program;
- 2) The Grantee shall provide documentation to the State that it has enrolled and is participating in the E-Verify program;

- 3) The Grantee does not knowingly employ an unauthorized alien.
  - 4) The Grantee shall require its contractors who perform work under this Grant Agreement to certify to Grantee that the contractor does not knowingly employ or contract with an unauthorized alien and that the contractor has enrolled and is participating in the E-Verify program. The Grantee shall maintain this certification throughout the duration of the term of a contract with a contractor.
8. Establishment and Maintenance of Records, Cost Documentation, Reports, and Inspections
- A. The Grantee and/or its fiscal agent shall utilize fiscal control and accounting procedures that permit the preparation of all required reports and the tracing of expenditures adequate to establish compliance with all applicable requirements.
  - B. The Grantee shall prepare required reports that are uniform in definition, reasonably accessible and comprehensible to all authorized parties, verifiable for monitoring, reporting, audit and evaluation purposes, and in accordance with the specifications of the Statewide Management Information System as set forth by the State.
9. General Assurances and Certification
- A. The Grantee certifies that in connection with the activities undertaken pursuant any grant agreement:
    - 1) The Grantee shall comply with all applicable policy and directives issued by the State;
    - 2) The Grantee represents and warrants that it has a current Cost Allocation Plan. A Cost Allocation Plan is current when it addresses an entity-wide allocation of all funds awarded to the Grantee by the State and received from separate funding sources;
    - 3) No funds made available under a grant agreement shall be used to promote religious or anti-religious activities in violation of 20 CFR §667.266.
    - 4) No funds made available under any grant agreement may be used for lobbying activities in violation of 29 CFR §93.100 *et seq.* or used for political activities in violation of 5 U.S.C. §1501 *et seq.*
    - 5) The Grantee shall establish safeguards adequate to prohibit employees or other persons from using their position with the Grantee for improper private gain for themselves or others. The Grantee will adopt corporate bylaws that establish procedures to avoid improper conflicts of interest;
    - 6) The Grantee shall maintain an affirmative action plan, written personnel policies, and grievance procedures for complaints and grievances from applicants, participants, and beneficiaries, sub-grantees, employers, employees and other interested persons, all in accordance with all applicable statutes and regulations;
    - 7) The Grantee will not violate the provisions of 18 USC §665, which defines criminal liability for individuals who steal, embezzle, or otherwise misuse funds under the WIA and WIOA and agrees to educate all staff members thereon;

- 8) In accordance with the Occupational Health and Safety Act of 1970, 29 USC §651 *et seq.*, the Grantee will not expose participants to surroundings or working conditions which are unsanitary, hazardous, or dangerous; participants employed or trained for inherently dangerous occupations shall be assigned to work in accordance with reasonable safety practices;
  - 9) The Grantee agrees to comply with the provision of veterans' preference consistent with the applicable law at 38 §USC 4215.
10. Insurance and Bonding
- A. The Grantee shall secure and keep in force during the term of any grant agreement the following insurance coverages, covering the Grantee for any and all claims of any nature which may in any manner arise out of or result from Grantee's performance under a grant agreement.
    - 1) The Grantee shall, at its sole cost and expense, provide comprehensive and general public liability insurance against claims for personal injury, death or property damage occurring in connection with the Project. The limits of such insurance shall not be less than \$700,000 combined single limit per occurrence, \$5,000,000 aggregate, and shall contain a deductible clause not greater than \$10,000. All insurance required hereunder shall be with a responsible carrier acceptable to the State and shall name the State as an additional insured. Grantee shall, upon request, provide the State with a Certificate evidencing such insurance.
    - 2) The Grantee shall provide crime insurance, including fidelity coverage in the amount of either \$100,000 or the highest single total disbursement planned pursuant to the grant agreement and all other State contracts or grants outstanding to Grantee, whichever is higher, and covering all persons responsible for or handling funds received or disbursed under the grant. This bond must show the State of Indiana as the obligee. It shall be the Grantee's responsibility to see that all persons handling funds under the grant agreement are bondable.
    - 3) If the Grantee is a department, division, or agency of the State of Indiana, or of a county, municipal, or local government, the foregoing insurance coverages shall not be required; however, Grantee may elect to provide such coverages.
  - B. The Grantee's insurance coverage must meet the following additional requirements:
    - 1) The insurer must have a certificate of authority issued by the Indiana Department of Insurance.
    - 2) Any deductible or self-insured retention amount or other similar obligation under the insurance policies shall be the sole obligation of the Grantee.
    - 3) The State will be defended, indemnified, and held harmless to the full extent of any coverage actually secured by the Grantee in excess of the minimum requirements set forth above. The duty to indemnify the State under this Grant shall not be limited by the insurance required in the Grant.

- 4) The insurance required in the Grant, through a policy or endorsement(s), shall include a provision that the policy and endorsements may not be canceled or modified without thirty (30) days' prior written notice to the undersigned State agency.

11. Nondiscrimination

- A. Pursuant to the Indiana Civil Rights Law, specifically including IC 22-9-1-10, and in keeping with the purposes of the federal Civil Rights Act of 1964, the Age Discrimination in Employment Act, and the Americans with Disabilities Act, the Grantee covenants that it shall not discriminate against any employee or applicant for employment relating to the grant with respect to the hire, tenure, terms, conditions, or privileges of employment or any matter directly or indirectly related to employment because of the employee or applicant's: race, color, national origin, religion, sex, age, disability, ancestry, status as a veteran, or any other characteristic protected by federal, state, or local law ("Protected Characteristics"). Furthermore, the Grantee certifies compliance with applicable federal laws, regulations, and executive orders prohibiting discrimination based on the Protected Characteristics in the provision of services.
- B. The Grantee understands that the State is a recipient of federal funds and, therefore, where applicable, the Grantee and any sub-grantees agree to comply with requisite affirmative action requirements, including reporting, pursuant to 41 CFR §60-1.1 *et seq.*, as amended, and Section 202 of Executive Order 11246.