

Maryland’s Apprenticeship Innovation Fund | September 11, 2019

- TO:** Division of Workforce Development and Adult Learning (DWDAL) staff;
Apprenticeship Innovation Fund grantees
- FROM:** Division of Workforce Development and Adult Learning
Maryland Department of Labor (Labor)
- SUBJECT:** Maryland’s Apprenticeship Innovation Fund
- PURPOSE:** To provide policy guidance on Maryland’s Apprenticeship Innovation Fund.
- ACTION:** Local Workforce Development Area directors, American Job Center labor exchange administrators, and central office managers will ensure all employees are aware of and receive copies of this policy. DWDAL policies are available [on the Labor website](#).
- EXPIRATION:** Until cancelled or replaced

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CANCELLATION

The following is hereby cancelled and replaced by this policy issuance:

- Policy Issuance 2018-07, “Maryland’s Apprenticeship Innovation Fund,” dated August 28, 2018.
- Archived policy issuances are available at: <http://www.dllr.state.md.us/employment/mpi/>.

GENERAL INFORMATION

WORKFORCE INNOVATION & OPPORTUNITY ACT (WIOA)

The Workforce Innovation and Opportunity Act (WIOA) was signed into law on July 22, 2014, and went into effect July 1, 2015. WIOA supersedes the Workforce Investment Act of 1998 (WIA) and amends the Adult Education and Family Literacy Act, the Wagner Peyser Act, and the Rehabilitation Act of 1973. By design, the workforce system established under WIOA is integrated to help both businesses and jobseekers. WIOA envisions connecting businesses with job seekers, through meaningful partnerships among workforce, education, human services, and economic development entities to ensure optimum results and leveraging of resources. The law addresses the needs of job seekers through establishing a workforce system that helps them access employment, education, training and support services to succeed in the labor market. Through the American Job Centers (AJCs), WIOA works to address employer needs by matching them to the skilled workers they need to compete in the global economy.

Registered Apprenticeship is fully aligned with the employer-focused, work-based training that WIOA envisions. Features of Registered Apprenticeship, including its flexibility, opportunities for immediate earnings, and emphasis on partnerships, make it an effective strategy to meet workforce system goals. Additionally, the outcomes attained by apprentices and graduates of Registered Apprenticeship programs can lead to strong WIOA performance results. Adopting Registered Apprenticeship as a workforce strategy can help advance the goals of WIOA.

REGISTERED APPRENTICESHIP

Registered Apprenticeship is a proven model of job preparation that combines paid on-the-job training (OJT)¹ with related instruction to progressively increase workers' skill levels and wages. Registered Apprenticeship is also a business-driven model that provides an effective way for employers to recruit, train, and retain highly skilled workers. It allows employers to develop and apply industry standards to training programs, thereby increasing productivity and the quality of the workforce. As an "earn and learn" strategy, Registered Apprenticeship offers job seekers immediate employment opportunities that pay sustainable wages and offers advancement along a career pathway. Graduates of Registered Apprenticeship programs receive nationally-recognized, portable credentials, and their training may often be applied towards further post-secondary education.

The U.S. Registered Apprenticeship System is authorized through the National Apprenticeship Act of 1937. Maryland Department of Labor (Labor) serves as the "State Apprenticeship Agency" and, in consultation with the Maryland Apprenticeship and Training Council, is responsible for the following functions in the state:

- Registering apprenticeship programs that meet federal and state standards;
- Issuing certificates of completion to apprentices;
- Encouraging the development of new programs through outreach and technical assistance;
- Protecting the safety and welfare of apprentices; and
- Assuring that all programs provide high-quality training.

All Registered Apprenticeship programs consist of the following five core components:

¹ Also known as "on-the-job learning" (OJL)

1. **Business Involvement** – Businesses are the foundation of every Registered Apprenticeship program. The skills needed for workforce success, provided through business input, form the core of the model. Businesses must play an active role in building Registered Apprenticeship programs and are involved in every step of their design and execution.
2. **On-the-Job Training** – Every Registered Apprenticeship program includes structured OJT. Companies hire apprentices and provide hands-on training from an experienced mentor. This training is developed by mapping the skills and knowledge the apprentice must learn over the course of the program to become fully proficient at the job.
3. **Related Instruction**² – Apprentices receive Related Instruction or classroom style training that complements the OJT. This instruction helps refine the technical and academic skills that apply to the job. Related Instruction may be provided by a community college, technical school or college, an apprenticeship training school, non-profit, community-based organization (CBO), industry, labor organization, business association, or by the business itself. The instruction can be provided at the school, online, or at the work site.
4. **Rewards for Skill Gains** – Apprentices receive increases in pay as their skills and knowledge increase. Progressive wage gains reward and motivate apprentices as they advance through training and become more productive and skilled at their job.
5. **National Occupational Credential** – Every graduate of a Registered Apprenticeship program receives a nationally recognized credential, referred to as a Certificate of Completion. This portable credential signifies that the apprentice is fully qualified to successfully perform an occupation. Many Registered Apprenticeship programs, particularly in high-growth industries such as healthcare, advanced manufacturing and transportation, also offer interim credentials as apprentices master skills as part of their career pathway.

PRE-APPRENTICESHIP

Pre-Apprenticeship programs provide instruction and training to increase math, literacy, and other vocational and pre-vocational skills needed to gain entry into a Registered Apprenticeship program. Implementing Registered Apprenticeship and Pre-Apprenticeship models that are aligned with the needs of key industry sectors creates opportunities for students, job seekers, and workers along the talent pipeline. To meet the official definition of Pre-Apprenticeship, a program must have a documented partnership with at least one Registered Apprenticeship to ensure Pre-Apprenticeship graduates are able to successfully enroll in a Registered Apprenticeship program upon completion. Pre-Apprenticeship programs generally consist of the following:

- Training and curriculum that aligns with the skill needs of employers in the local economy;
- Access to educational and career counseling and other supportive services, directly or indirectly;
- Hands-on, meaningful learning activities that are connected to education and training activities, such as exploring career options, and understanding how the skills acquired through coursework can be applied toward a future career;
- Opportunities to attain at least one industry-recognized credential; and
- A partnership with at least one Registered Apprenticeship program that assists in placing individuals who complete the Pre-Apprenticeship program into a Registered Apprenticeship program.

² USDOL now refers to Related Technical Instruction (RTI) as Related Instruction, as seen in the Workforce Innovation and Opportunity Act; Department of Labor Only; Final Rule - <https://www.gpo.gov/fdsys/pkg/FR-2016-08-19/pdf/2016-15975.pdf>.

APPRENTICESHIP INNOVATION FUND

Through the Apprenticeship Innovation Fund (AIF), in accordance with the ApprenticeshipUSA State Expansion Grant, Labor invests in sustainable programs that support and engage in Registered Apprenticeship expansion strategies. The AIF is a competitive grant fund intended to seed the implementation of new and promising ideas, or to adapt proven strategies at the systems or service delivery level, so as to expand the reach of Registered Apprenticeship programs in Maryland. Labor’s commitment to innovative practices includes funds for expanded Pre-Apprenticeship and Registered Apprenticeship activities. Labor funds the AIF in an effort to reach the following outcomes, where applicable:

- New businesses³ engaged;
- New non-traditional Registered Apprenticeship programs in the state;
- New Registered Apprenticeship programs in the state;
- Existing Registered Apprenticeship programs expanded;
- Registered Apprenticeship programs that engage traditionally underrepresented populations;
- Number of services provided to participants, such as Pre-Apprenticeship and other types of work-readiness training;
- Increase in Registered Apprentices;
- Increase in women who are Registered Apprentices;
- Increase in youth (16-24 year olds) who are Registered Apprentices; and
- Number of connections to Maryland WIOA workforce system.

In an effort to align Registered Apprenticeship with Maryland’s workforce system, priority will be given to projects that work to expand opportunities to non-traditional Registered Apprenticeship industry sectors⁴ and/or Maryland’s WIOA Target Populations⁵:

Maryland’s Target Populations: Individuals with Barriers to Employment
Displaced Homemakers
Eligible migrant and seasonal farmworkers
Ex-offenders
Homeless individuals
Individuals facing substantial cultural barriers
Individuals with disabilities, including youth with disabilities
Individuals within two years of exhausting lifetime eligibility under Part A of the Social Security Act ⁶
Individuals who are English language learners
Individuals who are unemployed, including the long-term unemployed
Individuals who have low levels of literacy
Individuals without a High School Diploma
Low income individuals (including TANF and SNAP recipients)
Native Americans, Alaskan Natives, and Native Hawaiians

³ This refers to a business that hasn't previously engaged in the Maryland Workforce System or a business that is new to Registered Apprenticeship.

⁴ Maryland’s existing Registered Apprenticeship opportunities are primarily in the Building Trades and Construction industries, both considered “traditional” industries

⁵ Refer to WIOA Technical Document 2016-01, “Definitions for WIOA Implementation” - <https://www.dllr.state.md.us/employment/wioatechdoc.pdf> and Maryland’s WIOA State Plan - <http://www.dllr.maryland.gov/wdplan/wdstateplan.pdf>.

⁶ This refers to the TANF program. Each state defines lifetime eligibility for TANF. In Maryland, individuals can receive TANF benefits for up to five years. If individuals reach year four and five of receipt of TANF benefits, these individuals become a targeted population according to WIOA, irrespective of the fact that after year five, individuals may continue to receive TANF benefits due to hardship.

Older individuals
Single parents (including single pregnant women and non-custodial parents)
Veterans
Youth who are in or have aged out of the foster care system

Maryland's establishment of the AIF represents a historic opportunity for the workforce system to expand its business base, offer employers a strategic approach to talent development, and offer job seekers greater employment prospects.

AIF TRAINING REQUIREMENTS & FUNDING

ELIGIBILITY

The AIF will fund applicants that seek to create innovative models for Registered Apprenticeship. Labor considers the following entities to be eligible⁷ for AIF funds:

- For-profit, private sector businesses;
- Non-profit organizations;
- Labor organizations;
- Industry associations;
- Local and regional economic development entities;
- Registered Apprenticeship sponsors;
- Local Workforce Development Areas; and
- Institutions of postsecondary education.

Applicants are encouraged to focus on connecting Maryland's WIOA target populations⁸ to apprenticeship opportunities and are required to have strong employer participation.

To be eligible for participation in the AIF, an applicant is not required to provide dollar-to-dollar matching of funds. However, applicants are encouraged to leverage additional resources for the expansion or creation of Registered Apprenticeship programming.⁹ Leveraged resources may include braided, blended, or stacked funding from other public, private or philanthropic sources.

Labor will not fund applicants who are the subject of an investigation by any federal, state, or local governmental entity for alleged criminal or civil violations of laws or regulations enforced by these entities.

Applicants must have an effective and efficient financial management system that allows for the accurate tracking of grant expenditures and obligations by funding source, fund type, cost classification, and budget line item; experienced accounting and/or program staff familiar with federal grants management and reporting; and financial solvency that allows for grant payments on a reimbursement basis for actual costs incurred.

ALLOWABLE COSTS

To receive AIF funding, the needs and costs must be reasonable, necessary, and clearly related to the purpose and activities of the project. The following types of activities and items are examples of allowable costs:

- Convening partners and sponsors for planning;
- Developing curriculum;
- Books and training materials;
- Initial proficiency testing;
- Project management;
- Case management;
- Funding costs associated with Related Instruction;

⁷ If an interested party is unsure whether they are eligible for consideration, Labor will provide clarification as to its eligibility status.

⁸ See pages 6-7 for list of WIOA target populations.

⁹ Pre-Apprenticeship programs are eligible for the AIF; however, such programs must have a clear link to Registered Apprenticeship, in accordance with the U.S. Department of Labor's official definition of Pre-Apprenticeship. See pages 5-6 for details.

- Supportive services;¹⁰ and
- Activities related to:
 - Creating a non-traditional Registered Apprenticeship program;
 - Creating a pathway directly from Pre-Apprenticeship to Registered Apprenticeship;
 - Registration of a new occupation;
 - Creating a pathway for adult learners, including English Language Learners, to Registered Apprenticeship;
 - Creating Registered Apprenticeship programs that attract apprentices who fall into Maryland’s WIOA target populations, as identified on pages 6-7; and
 - The reactivation or modernization of a previously inactive Registered Apprenticeship program.

PROHIBITED USE OF FUNDS

AIF funds are prohibited from directly paying participant wages.

FUNDING CAPS

Labor has established a maximum threshold for training costs (“training caps”) for AIF applicants of \$100,000 per project and \$3,000 per participant. Projects must be completed by September 1, 2020.¹¹ To the extent allowed under the ApprenticeshipUSA State Expansion Grant, Labor may consider a training proposal that exceeds this cap if extenuating circumstances warrant. Consideration will require additional justification to be submitted by the applicant, evidencing substantial wage growth and job creation as an outcome of participation in the program.

¹⁰ Supportive services provide financial assistance to participants who would not be able to participate otherwise. Examples of supportive services could include: assistance with transportation, uniforms, tools, work or training equipment, child or dependent care, graduation fees, or union initiation fees.

¹¹ September 1, 2020 is 60 days prior to the grant’s end date, which is October 31, 2020.

OUTREACH METHODS

EMPLOYER OUTREACH METHODS

Labor encourages its business services staff, including its Apprenticeship Training Representatives (ATRs) as well as the Governor's Workforce Development Board (GWDB) staff to conduct outreach to ensure Maryland's businesses are aware of the opportunities available to them via Registered Apprenticeship, Pre-Apprenticeship, and the AIF.

ATRs may provide the following assistance:

- Provide technical assistance related to understanding the requirements of a Registered Apprenticeship and/or Pre-Apprenticeship program in Maryland;
- Conduct outreach to businesses to explain the benefits of the Registered Apprenticeship training model;
- Assist in the completion and submission of Registered Apprenticeship applications for review by the Maryland Apprenticeship and Training Council;
- Work with applicants to gain a clear understanding of job requirements; and
- Coordinate with Local Workforce Development Areas and other partners to identify qualified apprenticeship candidates to participate in Registered Apprenticeship.

Labor requires its business services staff and ATRs to document outreach activities related to Registered Apprenticeship in the Maryland Workforce Exchange in a timely manner, in accordance with procedures provided by the Director of the Office of Workforce Development.

JOB SEEKER OUTREACH METHODS

Maryland's workforce system offers a wide-array of resources to the state's job seekers. Alongside AIF grantees, Labor will work with its existing state and local partners to identify potential apprentices for AIF applicants and to assist with job seeker outreach.

APPLYING FOR THE APPRENTICESHIP INNOVATION FUND

APPLICATION SUBMISSION

To apply for Apprenticeship Innovation Fund awards, applicants must first complete the required application: <http://www.doit.state.md.us/selectsurvey/TakeSurvey.aspx?SurveyID=71009m4>.¹² A sample of this online application is provided in *Attachment A – Sample Apprenticeship Innovation Fund Application*. At a minimum, a completed application shall provide:

- The amount of funds requested (not to exceed \$100,000¹³);
- A timeframe for all project activities;
- The number of individuals to be served through the activities proposed for funding;
- A profile of the applicant and any partners;
- A specific plan that includes a description of the training, skills, and/or processes that are included as part of the proposed activities;
- The number of new or reactivated Registered Apprenticeship programs developed or number of Registered Apprentices to be served;
- If the new program is a traditional or non-traditional occupation for Registered Apprenticeship;
- Details on the program costs;
- Other resources that will be leveraged to support the program;
- Letters of support from partner organizations;
- A description on how the proposed activities will enhance the use, availability, and effectiveness of Registered Apprenticeship programs;
- Description of how the proposal supports innovation of Registered Apprenticeship in Maryland;
- Information on the individuals to be served through the proposed activities; and
- Information on how the program will be sustained after AIF funds are exhausted.

Labor will accept and review applications on a rolling first-come, first-served basis.

APPLICATION REVIEW

Submitted applications shall be reviewed in a timely manner by a state review team comprised of:

1. Labor Director of the Office of Workforce Development (or designee);
2. Labor Business Services Program Manager (or designee);
3. Labor Director of Apprenticeship and Training (or designee); and
4. A GWDB Representative.

The review team must ensure that approved applications meet minimum program requirements, based upon a scoring rubric in *Attachment B – Apprenticeship Innovation Fund Grant Evaluation Form*.

¹² This application meets the requirements of web accessibility as defined by the Americans with Disabilities Act (ADA), Section 508 of the U.S. Rehabilitation Code. However, applicants who have questions or require assistance with the online application are encouraged to contact the Labor Director of Apprenticeship and Training.

¹³ Labor may consider training proposals that exceed these caps if extenuating circumstances warrant.

APPLICATION APPROVAL/DENIAL

Labor must inform applicants via email when AIF grant requests have been approved or denied within 14 calendar days of application receipt. Labor will deny incomplete applications.

If approved, the Labor Office of Workforce Development shall provide the applicant with a Grant Award Notification to be completed by the applicant. A sample of this notification is provided through ***Attachment C – Sample Grant Award Notification for the AIF***.

Approved programs must be prepared to enter into contract negotiations, and should begin implementing programmatic work. Approved programs must submit completed grant agreements to Labor for review within 14 calendar days of notification by email at dmatpapprenticeshipandtraining-dllr@maryland.gov. Labor also requires approved programs to submit two original copies of the grant agreement by mail to the following address:

Maryland Department of Labor
Division of Workforce Development and Adult Learning
Attn: Christopher MacLarion, Director of Apprenticeship & Training
1100 North Eutaw Street, Room 209
Baltimore, MD 21201

After a contract has been formally executed, Labor shall provide funds to the approved program on a cost reimbursement basis. Note: The monthly report shall serve as the invoice.

If a grant application is denied, the Labor Office of Workforce Development shall provide the applicant with a Grant Denial Notification containing feedback on the proposal. A sample of this notification is provided through ***Attachment D – Sample Grant Denial Notification for the AIF***. In addition, a denied applicant may appeal the decision. The appeal must be emailed to dmatpapprenticeshipandtraining-dllr@maryland.gov within 14 days of the date of the Grant Denial Notification and (1) be in writing and state the grounds for the appeal; and, (2) state the reasons why the application should be reconsidered and approved. The Labor Division of Workforce Development and Adult Learning (DWDAL) Assistant Secretary will consider all appeals and provide written response to the applicant within 14 calendar days of appeal receipt. The Labor DWDAL Assistant Secretary is the final decision maker.¹⁴

¹⁴ Any of the time periods under this section, “Application Approval/Denial” may be extended by the Labor DWDAL Assistant Secretary in his or her whole discretion.

REPORTING REQUIREMENTS

Participating programs must submit timely fiscal and administrative reports to DWDAL. If reporting requirements are not met by a participating applicant, the review team shall not approve subsequent Apprenticeship Innovation Fund applications for that applicant.

AIF grant recipients must submit monthly reports on administrative and program costs and training progress to the Labor central office no later than the 10th of the month following the month of reported activity. This report will act as the program's invoice for reimbursement. See *Attachment E – Sample Template for AIF Monthly Report* for an example of the required report. Grant recipients must provide all signed reports by email to the following:

Christopher MacLarion, Director
Maryland Apprenticeship and Training
Christopher.maclarion@maryland.gov

Labor may change reporting requirements as necessary to comply with reporting requirements for the ApprenticeshipUSA State Expansion Grant.

MONITORING & RECORD RETENTION

MONITORING

As Maryland's Apprenticeship Innovation Fund is funded federally through the U.S. Department of Labor's Apprenticeship USA grant, the state acknowledges that the U.S. Department of Labor may conduct fiscal and/or programmatic monitoring. Labor, as it deems necessary, may supervise, evaluate, and provide guidance in the conduct of activities performed under this grant. Monitoring may include desk and/or on-site monitoring. Failure of Labor to supervise, evaluate, or provide guidance and direction shall not relieve Grantee of any liability for failure to comply with the terms of the grant award.

RECORD RETENTION

In accordance with the Code of Federal Regulations, Maryland requires participating programs to retain Apprenticeship Innovation Funds records for at least three years following the date on which the final cost report charged to a program year's allotment is submitted, or until all audit and litigation issues are resolved, whichever is later. If any litigation, claim, or audit is started before the expiration of the three-year period, the records then must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action has been taken.

REFERENCES

LAW

- [Workforce Innovation and Opportunity Act \(WIOA\), 29 U.S.C. § 3101 et seq. \(2015\);](#)
- [National Apprenticeship Act \(P.L. 75-308\);](#)
- [Labor and Employment Article, Annotated Code of Maryland, Section 11-401](#)

REGULATION

- 29 CFR 97.42, "[Retention and access requirements for records;](#)"
- 29 CFR 95.53, "[Retention and access requirements for records;](#)"
- 29 CFR Parts 29 and 30, "[Apprenticeship Programs; Equal Employment Opportunity: Final Rule,](#)" dated December 19, 2016;
- [WIOA Final Regulations](#) (Federal Register Vol. 81, No. 161, August 19, 2016);
- Code of Maryland Regulations 09.12.43 [Maryland Apprenticeship and Training;](#)
- [Code of Maryland Regulations 21.11.12 - Socioeconomic Policies.](#)

U.S. DEPARTMENT OF LABOR GUIDANCE

- Training and Employment Notice (TEN) 31-16, "[Framework on Registered Apprenticeship for High School Students,](#)" dated January 17, 2017;
- Training and Employment Guidance Letter (TEGL) 13-16, "[Guidance on Registered Apprenticeship Provisions and Opportunities in the Workforce Innovation and Opportunity Act \(WIOA\),](#)" dated January 12, 2017;
- Training and Employment Notice 23-16, "[Announcing the release and publication of the apprenticeship Programs; Equal Employment Opportunity final rule in the Federal Register,](#)" dated December 19, 2016;
- TEGL 19-15, Change 1, "[Change 1 to ApprenticeshipUSA Funding Announcement: State Accelerator Grants,](#)" dated April 27, 2016;
- TEGL 19-15, "[ApprenticeshipUSA Funding Announcement: State Accelerator Grants,](#)" dated April 21, 2016;
- TEGL 20-15, "[ApprenticeshipUSA Information and New Technical Assistance Resources for Starting and Enhancing Registered Apprenticeship Programs,](#)" dated January 11, 2016;
- TEGL 04-15, "[Expanding Registered Apprenticeships and Pre-Apprenticeships to Create a Pathways to Good Middle Class Jobs for Youth and Adults with Disabilities,](#)" dated July 31, 2016;
- TEGL 3-15, "[Guidance on Services Provided through the Adult and Dislocated Worker Program under the Workforce Innovation and Opportunity Act and Wagner Peyser, as Amended by WIOA, and Guidance for the Transition to WIOA Services,](#)" dated July 1, 2015.
- TEN 18-13, "[21st Century Registered Apprenticeship: A Shared Vision for Increasing Opportunity, Innovation, and Competiveness for American Workers and Employers,](#)" dated January 2, 2014;
- TEN 13-12, "[Defining a Quality Pre-Apprenticeship Program and Related Tools and Resources,](#)" dated November 30, 2012;
- TEGL 10-09, "[Toolkit and White Paper on Improving Transition Outcomes of Youth with Disabilities through Apprenticeship,](#)" dated September 21, 2009;
- TEGL 48-08, "[Release and Availability of Report Titled, The Benefits and Challenges of Registered apprenticeship: The Sponsors' Perspective,](#)" dated June 1, 2009;
- TEGL 02-07, "[Leveraging Registered apprenticeship as a Workforce Development Strategy for the](#)

- [Workforce Investment System](#),” dated July 12, 2007;
- TEGL 17-06, “[Vision for 21st Century Apprenticeship](#),” dated November 22, 2006.

OTHER RESOURCES

- [Maryland Workforce Plan](#);
- WIOA Technical Document 2016-01, “[Definitions for WIOA Implementation](#);”
- Maryland [Temporary Cash Assistance State and Workforce Development Area Profiles](#);
- [Innovations in Maryland’s Local Workforce Plans: A Best Practices Guide](#), January 2017.
- A Quick-Start Toolkit: [Building Registered Apprenticeship Programs](#);
- Funding Opportunity Announcement from USDOL, [Apprenticeship USA Grant](#);
- [Federal Resources Playbook](#);
- Pre-Apprenticeship: Pathways for Women into High-Wage Careers: [A Guide for Community-Based Organizations and Workforce Providers](#);
- The Aspen Institute: Apprenticeship: [Completion and Cancellation in the Building Trades](#), dated October 2013;
- Center for American Progress: Training for Success: [A Policy to Expand Apprenticeships in the United States](#), dated December 2013; and
- Mathematica Policy Research: [An Effective Assessment and Cost-Benefit Analysis of Registered Apprenticeship in 10 States](#), dated July 2012.

ATTACHMENTS

- Attachment A – Sample Apprenticeship Innovation Fund Application
- Attachment B – Apprenticeship Innovation Fund Grant Evaluation Form
- Attachment C – Sample Grant Award Notification for AIF
- Attachment D – Sample Grant Denial Notification for AIF
- Attachment E – Sample Template for AIF Monthly Report

APPRENTICESHIP INNOVATION FUND APPLICATION

As part of its program funded under the U.S. Department of Labor ApprenticeshipUSA Expansion grants, the Maryland Department of Labor (Labor) has established an Apprenticeship Innovation Fund (AIF) to invest in programs that support and enhance Registered Apprenticeship (RA) expansion strategies. The AIF is a competitive grant fund intended to seed the implementation of new and promising ideas, or to adapt proven strategies at the systems or service delivery level, so as to expand the reach of Registered Apprenticeship programs in Maryland. Labor's commitment to innovative practices includes funds for expanded Pre-Apprenticeship and Registered Apprenticeship activities.

Labor considers the following entities to be eligible for AIF funds:

- For-profit, private sector businesses;
- Non-profit organizations;
- Labor organizations;
- Industry associations;
- Local and regional economic development entities;
- Registered Apprenticeship sponsors;
- Local Workforce Development Areas; and
- Institutions of postsecondary education.

Applicants are encouraged to focus on connecting Maryland's WIOA target populations to apprenticeship opportunities. To be eligible for participation in the AIF, an applicant is not required to provide dollar-to-dollar matching of funds, but is encouraged to leverage additional resources for the expansion or creation of Registered Apprenticeship programming. Leveraged resources may include braided funding from other public, private or philanthropic sources.

Labor will not fund applicants who are the subject of an investigation by any federal, State, or local governmental entity for alleged criminal or civil violations of laws or regulations enforced by these entities.

Eligible entities must complete the following information for consideration for an award under Maryland's Apprenticeship Innovation Fund. All sections must be addressed for application to be considered.

Note: Use the TAB key to quickly navigate to each field.

Applications will be accepted and reviewed on a rolling first-come, first-served basis.

Completed applications should be submitted electronically to dmatpapprenticeshipandtraining-dllr@maryland.gov. Applicant should include letters of support as enclosures to the application.

APPLICANT INFORMATION

Organization Name	Employer Identification Number (An EIN is written in the form 00-0000000)	Point of Contact Name	Point of Contact Title
Organization Street Address	City, State ZIP Code	Organization Phone Number	Point of Contact E-Mail Address

Registered Apprenticeship Sponsor Number (if applicable):

PROJECT OVERVIEW

1. Indicate the amount of funds requested, up to a maximum amount of \$100,000.00 per project and \$3,000 per participant.

2. Indicate the number of individuals that will be served, should your proposal be granted funding.

APPLICANT EXPERIENCE

3. Provide a brief profile of the applying organization, highlighting any previous experience related to Registered Apprenticeships. If none, please state N/A. (length not to exceed 650 words)

Provide a brief profile of any partner organization(s), highlighting any previous experience related to Registered Apprenticeships. If none, please state N/A. (length not to exceed 325 words)

DESCRIPTION OF PROPOSED USE OF AIF FUNDS

4. Describe your organization's proposed plan for use of AIF funding. Include a description of the training, skills, and/or processes that are included as part of the proposed activities. If non-traditional occupations are a focus area, please be sure to note this and provide details. (length not to exceed 1,000 words)

5. If applicable, indicate the number of new Registered Apprenticeship programs developed under your proposal and provide a description of each program. If applicable, indicate the number of Registered Apprenticeship programs reactivated under your proposal and provide a description of each program. Indicate the number of registered apprentices to be served under your proposal. (length not to exceed 650 words)

6. Provide a brief overview of the individuals to be served through your organization's proposed activities. If historically underrepresented populations are being served, please indicate which ones and what approach is being used for recruitment/retention. (length not to exceed 650 words)

OVERVIEW OF PROGRAM COSTS

7. Provide an itemized list of ALL costs associated with your program proposal. This list must account for the full amount of the funds requested by your organization, as indicated in Item #1 above. **Amount of funds requests should not exceed \$100,000.**

NOTE: AIF funds are prohibited from directly paying participant wages.

8. Provide a listing of all leveraged resources that are helping to support your organization's proposal. These may include: organizational staff salaries, program administrative costs, etc.

PROJECT TIMELINE

9. Describe the estimated timeframes for all of the proposed project's key activities. Indicate project START and END dates clearly within this timeline. All projects must conclude by **9/1/2020**.

OVERVIEW OF PROGRAM DELIVERABLES

10. Please provide a brief description on how the activities proposed by your organization will enhance the use, availability, and effectiveness of Registered Apprenticeship programs. (length not to exceed 750 words)

11. Please provide a description of how your organization's proposal supports innovation of Maryland's Registered Apprenticeship program. (length not to exceed 750 words)

SUSTAINING THE EFFORT

12. When funds awarded under the AIF are exhausted or the project has ended, how will the efforts initiated under your proposal be sustained? (length not to exceed 500 words)

13. On behalf of _____, I affirm that test is not under investigation by any federal, State or local governmental entity for alleged criminal or civil violations of laws or regulations enforced by these entities.

ApprenticeshipUSA
Apprenticeship Innovation Fund (AIF)
Grant Evaluation Form

Proposal #: Click here to enter text.

Grantee Name: Click here to enter text.

Evaluator Name: Click here to enter text.

Date: Click here to enter text.

A. How innovative is the approach to creating new Registered Apprenticeship Occupations? (5 points)

Strong = 5, Medium = 3, Weak = 1, Missing = 0

Comments:

Criteria:

- 1. Proposal clearly outlines a strategy that will introduce Registered Apprenticeships to new industries or occupations.**
- 2. Proposal effectively describes a direct pathway for successful participants to be connected to employment in the occupation related to the apprenticeship program.**
- 3. Proposal utilizes proven practices adapted from other Registered Apprenticeship programs.**
- 4. Proposal outlines a strategy to leverage existing partnerships to expand apprenticeship?**

B. Does the proposal connect new populations, traditionally underrepresented, to Registered Apprenticeship opportunities? (5 points)

Strong = 5, Medium = 3, Weak = 1, Missing = 0

Comments:

Criteria:

- 1. Proposal clearly identifies which underrepresented populations will be connected to Registered Apprenticeships.**
- 2. Proposal shows which strategies will be used to recruit candidates from underrepresented populations.**
- 3. Proposal incorporates strategies to address any potential barriers that underrepresented populations may face when seeking Registered Apprenticeship opportunities.**
- 4. Proposal incorporates access to appropriate supportive services to enable program participants to maintain participation in the program.**

C. The plan presented shows a method for sustainability past the expiration of the grant application. (5 Points)

Strong = 5, Medium = 3, Weak = 1, Missing = 0

Comments:

Criteria:

- 1. Proposal clearly demonstrates that the applicant is taking steps to ensure the continued organizational, financial, and administrative sustainability of the program after the period of performance has ended.**
- 2. Proposal clearly describes how applicant will continue to conduct their program beyond the grant application.**
- 3. Proposal clearly describes how the applicant plans to solicit feedback from partners as to the value and success of the program.**
- 4. Proposal includes the pursuit of other funding and support, either through future grant opportunities, new partnerships, and/or other funding streams.**

D. Industry and Partner Engagement

(5 Points)

Where applicable the plan presented shows partnership with all required elements for a successful program to succeed such as:

1. *Hiring Commitments or letters of support from Registered Apprenticeship Programs for pre-apprenticeship applications*
2. *Connections to the American Job Centers, community partners and other pipelines for underrepresented populations for pre-apprenticeship or new programs:*
3. *Connections to approved providers of Related Instruction for new programs/occupations*
4. *Business commitments/Labor Market Information to support development of new program/occupations*

Strong = 5, Medium = 3, Weak = 1, Missing = 0

Comments:

Criteria:

1. Proposal clearly identifies all of the partners that will be involved with the work outlined in the proposal.
2. Letters of commitment or support incorporate specific deliverables that the partner will provide to help support the work outlined in the proposal.
3. Proposal clearly outlines the plan's connection(s) to the public workforce system.
4. Proposal clearly identifies business partners and identifies their contributions to the overall program.
5. Proposal identifies industry or sector partnership.

DATE

Dear **PERSON OF CONTACT**,

On behalf of the Maryland Department of Labor (Labor), I would like to thank you for your interest in the Apprenticeship Innovation Fund. Our team has reviewed your application and agrees to fund your proposal in the amount of \$xxxx. The award number is AIFxxx.

By accepting the grant award you, as the Grantee, are agreeing to the following terms:

- 1) The funds provided by Labor will be used solely for the purposes of providing training as outlined in the Apprenticeship Innovation Fund Application.
- 2) You acknowledge that grant funds must be expended in conformity with the requirements and provisions of this Agreement; those outlined in the Requirements available on the Department's website; the submitted Application; any amendments thereto; and any programmatic, financial, or other implementation policies determined by Labor as may be required by Labor to comply with any existing or future State regulations, directives, policies, procedures, and other requirements, or to further the general purposes of this Agreement.
- 3) Labor reserves the right to amend or revise the requirements if necessary for the effective administration of the Apprenticeship Innovation Fund.
- 4) All grant funds shall be expended on or before **xxxxxxxxx**.
- 5) You acknowledge that grant funds are subject to the availability of federal funds.
- 6) You agree to provide Labor with information required monthly reporting regarding the Apprenticeship Innovation Fund for the express purpose of allowing the Department to report performance information to the United States Department of Labor. The monthly reporting format is attached.
- 7) You agree to establish and maintain records related to the training for a period of no less than three (3) years from the completion of the training. You further agree to allow Labor and/or the United States Department of Labor, if requested, access to these records for the purpose of monitoring.
- 8) Labor, as it deems necessary, may supervise, evaluate, and provide guidance in the conduct of activities performed under this grant. However failure of Labor to supervise, evaluate, or provide guidance and direction shall not relieve Grantee of any liability for failure to comply with the terms of the grant award.
- 9) You certify that you possess and maintain any and all necessary licenses, approvals, certifications, and are in compliance with all applicable State and federal laws and regulations. Such approvals, licensing, certifications, and compliance include, but are not limited to, the laws, regulations, and policies of:

- i) Maryland Unemployment Insurance;
- ii) Maryland Occupational Safety and Health (*MOSH*);
- iii) The Comptroller of Maryland.

10) You certify that all necessary approvals for the commencement of the Apprenticeship Innovation Fund project have been obtained, including all applicable certificates, permits, and licenses. You also maintain all certifications, licenses, permits, and approvals necessary to operate, and shall otherwise satisfy all requirements necessary to operate the throughout its duration.

11) You further certify that:

- a) You have all requisite power and authority to enter into and carry out the transactions contemplated by this Agreement.
- b) The acceptance of the grant and the entering into of the Agreement serves as the valid and legally binding acts and agreements of Grantee.
- c) The representations, statements, and other matters contained in the approved Application and any amendments thereto are and remain true and complete in all material respects.
- d) You have not been, nor currently are, the subject of an investigation by any federal, State, or local governmental entity for alleged criminal or civil violations of laws or regulations enforced by these entities.
- e) You will operate this Project in compliance with State and federal laws and regulations.
- f) You certify that you prohibit, and covenant that you will continue to prohibit, discrimination on the basis of: (a) political or religious opinion or affiliation, marital status, sexual orientation, gender identification or expression, race, color, creed, national origin, veteran's status or genetic information; (b) sex or age, or except when age or sex constitutes a bona fide occupational qualification; or (c) the physical or mental disability of a qualified individual with a disability.
- g) You will comply with applicable federal, State, and local laws regarding discrimination and equal opportunity in employment, and credit practices, including:
 - i) Titles VI and VII of the Civil Rights Act of 1964;
 - ii) Title VIII of the Civil Rights Act of 1968, as amended;
 - iii) The Americans with Disabilities Act of 1990;
 - iv) Maryland Annotated Code, State Government Article, § 20-601 *et seq.*
- h) You will comply with the State of Maryland's policy concerning drug and alcohol free workplaces as set forth in the Governor's Executive Order 01.01.1989.18, COMAR 21.11.08, the Drug-Free Workplace Act of 1988, and its implementing regulations codified at 29 CFR 98, Subpart F.I. The Grantee must remain in compliance with these policies throughout the term of this Agreement.

- i) You agree to maintain confidentiality of records as required by applicable law and regulation, including but not limited to Md. Code. Ann., Gen'l Prov. Art. § 4-201, Md. Code. Ann., Lab & Empl. Art. §8-625, COMAR 09.01.01, 09.33.01, and 42 U.S.C. §503.
- j) You certify that no part of the grant funds, no part of the project, and no part of the Property, shall be used for the furtherance of sectarian religious instruction, or in connection with the design, acquisition, or construction of any building used or to be used as a place of sectarian religious worship or instruction, or in connection with any program or department of divinity for any religious denomination, including (but not limited to) religious services, religious instruction, or other activities that have an explicitly religious content.

12) Liability and Indemnification. Subject to the limitations contained in the Maryland Tort Claims Act, Grantee shall hold harmless and indemnify the Department and the State of Maryland from and against any and all losses, damages, claims, suits, actions, liabilities, and/or expenses, including, without limitation, attorneys' fees and disbursements of any character that arise from, are in connection with, or are attributable to the performance or nonperformance of the Grantee, its Subgrantees, or subcontractors under this Grant. This indemnification clause shall not be construed to mean that the Grantee shall indemnify the Department or the State against liability for any losses, damages, claims, suits, actions, liabilities, and/or expenses that are attributable to the sole negligence of the Department or the State or the State's employees. The Department and the State have no obligation to provide legal counsel or defense to the Grantee, its Subgrantees, or subcontractors in the event that a suit, claim, or action of any character is brought by any person as a result of or relating to the Grantees performance under this Grant. The State has no obligation for the payment of any judgments or the settlement of any claims against the Grantee, its Subgrantees, or subcontractors as a result of or relating to the Grantees performance under this Grant. Grantee agrees that all costs incurred by the Department or State as a result of such liabilities, suits, actions, claims, demands, losses, expenses, or costs, including reasonable attorney's fees, shall be immediately, and without notice, due and payable by Grantee to the Department. The Department and State are not deemed to have waived any immunity that may exist in law, regulation, or otherwise. This Section shall survive the term of this Agreement.

13) All notices, requests, approvals, and consents of any kind made pursuant to this Agreement shall be in writing. Any such communication, unless otherwise specified, may be delivered:

- a) Via electronic mail to the Grantee's assigned Grant Advisor, or
- b) By mail to:

Maryland Department of Labor
Division of Workforce Development and Adult Learning
Attn: Christopher MacLarion, Director of Apprenticeship and Training
1100 North Eutaw Street, Room 209
Baltimore, MD 21201

- c) Communications to Grantee shall be directed to the party identified in the Proposal as the Lead Applicant.

14) This Agreement shall be governed by, subject to, and construed according to the laws of the State of Maryland. The Grantee shall comply with all applicable federal, State, and local laws.

Labor intends to make available to the public certain information regarding the Project and the Grantee. In addition, the Department is required to disclose information about the Project to the Maryland General Assembly and may desire to disclose such information to other State officials or their staff, local government officials or their staff, other lenders, and funding sources. Such information that may be disclosed to any of the foregoing, including the public, may include the name of the Grantee; the name, location, and description of the Project; the date and amount of financial assistance awarded by the Department; the terms of the financial assistance; use of funds; information contained in the Application; and the sources, amounts, and terms of other funding used to complete the Project, including capital contributions from the Grantee. This information may be confidential under Maryland's Public Information Act, General Provisions Article § 4-101 *et seq.* of the Annotated Code of Maryland (the "**Public Information Act**"). If Grantee does not want this information made available to the above referenced parties, Grantee must attach a written objection to this Agreement. If an objection is received, the Department will notify Grantee if a request is received pursuant to the Public Information Act and will review the listed objections to make a determination if disclosure is required by law.

Should you or any member of your staff have any questions regarding this grant, please contact Mr. Christopher MacLarion, Director of Apprenticeship and Training at 410-767-3969 or Christopher.MacLarion@maryland.gov.

Sincerely,

James E. Rzepkowski
 Assistant Secretary
 Division of Workforce Development and Adult Learning

Enclosure – Apprenticeship Innovation Fund Application

Grant Information

Grantee Name	
Grantee DUNS Number	Federal Taxpayer ID#
Federal Award Identification	
Federal Award Identification Number	
Federal Award Date	

Sub-Award Number	AIF
Sub-award Period of Performance	From _____ to _____
Amount of Funds Obligated by this Action	
Total Amount Obligated to the Grantee	
Total Amount of Federal Award	
Federal Award Project Description	
Federal Awarding Agency	U.S. Department of Labor, ETA Division of Federal Assistance
Pass-Through Entity	Maryland Department of Labor Division of Workforce Development and Adult Learning
Awarding Official	James E. Rzepkowski, Assistant Secretary
CFDA Number and Name	
Sub-recipient's Approved Indirect Cost Rate	N/A

IN WITNESS WHEREOF, the undersigned have executed this to the Grant Agreement on or before the date first set forth herein.

Witness/Attest:

FOR GRANTEE:

By: _____ (SEAL)

Name: _____

Title: _____

Date

DEPARTMENT OF LABOR, a principal department of the State
of Maryland

By: _____ (SEAL)
James E. Rzepkowski

Date Executed on behalf of Department

Dear Mr./Ms.:

The Maryland Department of Labor's (Labor's) Division of Workforce Development and Adult Learning (DWDAL) has denied your request for funds under the Apprenticeship Innovation Fund. The reason for denial is _____ . Our office can assist with your application to create an opportunity that meets the parameters of the grant.

Through the Apprenticeship Innovation Fund (AIF), Labor invests in sustainable programs that support and engage in Registered Apprenticeship expansion strategies. The AIF is a competitive grant fund intended to seed the implementation of new and promising ideas, or to adapt proven strategies at the systems or service delivery level, so as to expand the reach of Registered Apprenticeship programs in Maryland. Labor's commitment to innovative practices includes funds for expanded Pre-Apprenticeship and Registered Apprenticeship activities.

If you wish to file an appeal, please submit a request within 14 calendar days from the notice of denial. The appeal must be emailed to dldmatpapprenticeshipandtraining-dllr@maryland.gov and: (1) be in writing and state the grounds for the appeal; and, (2) state the reasons why the appellant should be approved. Labor DWDAL Assistant Secretary will consider all appeals and provide written response to the applicant within 14 calendar days of appeal receipt.

Thank you for your interest in the Apprenticeship Innovation Fund (AIF). Should you have additional questions or concerns, please contact me at 410.767.2995 or Lloyd.day@maryland.gov.

Sincerely,

Lloyd Day
Director, Office of Workforce Development



**ApprenticeshipUSA Expansion Grant -
Apprenticeship Innovation Fund**

MONTHLY REPORT and INVOICE

Month Ending: **XXXXXX 2019**

Grantee:

SECTION A. PROGRAM REPORT

Grant Narrative:

Briefly describe your grant and the activities being performed:

Participant/Activity Category	New Activity	Cumulative Activity to Date	Comments
Total number of participants that are male			
Total number of participants that are female			
Total number of participants that did not self-identify their gender			
Total number of participants ages 16-24			
Total number of participants ages 25-54			
Total number of participants ages 55+			
Total number of participants with a disability			
Total number of participants without a disability			
Total number of participants who did not self-identify their disability status			

Total number of participants that are veterans			
Total number of participants that are not veterans			
Total number of participants that did not self-identify their veteran status			
Total number of participants that are Hispanic			
Total number of participants that are not Hispanic			
Total number of participants that did not self-identify if they are Hispanic			
Total number of participants that are Black/African American			
Total number of participants that are Asian			
Total number of participants that are American Indian/Alaska Native			
Total number of participants that are Native Hawaiian/Other Pacific Islander			
Total number of participants that are White			
Total number of participants that did not self-identify their race			
Total number of Pre-Apprenticeship programs ¹			
Total number of On-the-Job Training (OJT) programs (as part of RA programs only) ²			
Total number of Related Instruction (RTI) programs ³			
Total number of Supportive Services ⁴			
Total number of Registered Apprentices			

¹ To be considered a Pre-Apprenticeship program, a program must have at least one Registered Apprenticeship partner, the training and curriculum must be based on industry standards and approved by the documented Registered Apprenticeship partner(s), and will prepare individuals with the skills and competencies needed to enter one or more Registered Apprenticeship program(s); pre-Apprenticeship programs must also possess or develop a strong record of enrolling their Pre-Apprenticeship graduates into a Registered Apprenticeship program.

² Every Registered Apprenticeship program includes structured OJT. Companies hire apprentices and provide hands-on training from an experienced mentor. This training is developed by mapping the skills and knowledge the apprentice must learn over the course of the program to become fully proficient at the job.

³ Apprentices receive Related Instruction or classroom style training that complements the OJT. This instruction helps refine the technical and academic skills that apply to the job. Related Instruction may be provided by a community college, technical school or college, an apprenticeship training school, or by the business itself. The instruction can be provided at the school, online, or at the work site.

⁴ Refers to services such as transportation, child care, dependent care, housing, and needs-related payments that are necessary to enable an individual to participate in activities.

Total number of Pre-Apprentices			
Total number of new businesses engaged			
Total number of new RA programs			
Total number of new time-based RA programs			
Total number of new competency-based RA programs			
Total number of new hybrid RA programs			
Total number of existing RA programs expanded			
TOTAL PARTICIPANTS			

The below fields are mandatory and a narrative must be supplied;

I. Summary of "Best Practices" or "What's Working" –

II. Summary of Issues, Challenges, & Concerns –

III. Summary of Grant Activities: (Ex. Engaged employers, Registered Programs, Registered New Apprentices, Under-represented populations connected to Registered Apprenticeships)

IV. Narrative Describing Program or Participant Success Stories –

V. Technical Assistance Needs (If Any) –

SECTION B. FINANCIAL REPORT

Award #: AIF__ Grantee: _____

Please complete the blue shaded areas.

SUMMARY OF EXPENDITURES				
EXPENDITURES	Approved Budget	Monthly Net (= invoice)	Total Accrued Expenditures (cumulative amount)	Variance (over/under budget)
Staff Salary/Wages				
Staff Fringes				
Contractual				
Other/Indirect/Admin				
Total Expenditures and Monthly Invoice Amount				

Unliquidated Obligations	n/a	n/a		n/a
Total Obligation (sum of expenditures and unliquidated obligations)	n/a	n/a		n/a

SUMMARY OF RECEIPTS				
Total Cash Received	n/a	n/a		n/a
Total Cash Disbursements	n/a	n/a		n/a

CERTIFICATION: By signing this report, I certify to the best of my knowledge and belief that the report is true, complete and accurate and the expenditures, disbursements and cash receipts are for the purposes and intent set forth in the award document. I am aware that any false, fictitious or fraudulent information may subject me to criminal, civil or administrative penalties. (U.S. Code, Title 18, Section 1001)

Authorized Signature:

Date

Print Name and Title:

Telephone #

PLEASE E-MAIL THE COMPLETED AND SIGNED MONTHLY REPORT TO:

Christopher.maclarion@maryland.gov

The report is due on the 15th of each month.

SECTION C. MONTHLY INVOICE



ApprenticeshipUSA™

INVOICE

Remit To: _____

Company Name

Address

Address

Bill To: _____

Maryland Department of Labor
Apprenticeship Innovation Fund
1100 N Eutaw Street, Room 209
Attn: Christopher MacLarion
Batlimore, Maryland 21201

AIF Award # AIF-FY17-

Award Amount: _____

Invoice No.: _____

Invoice Date: _____

Description	Amount

TOTAL Due

Authorized Signature

Date

Printed Name

Date