

Local Policy 2023-16, Local Workforce Development Area 2 (LWDA2) Apprenticeship Building America (ABA) Grant

Purpose: This policy provides guidance specific to the Apprenticeship Building America (ABA) grant to assist with the implementation, administration, and management of the ABA grant.

References:

- DWD TA 2022-17 *Apprenticeship Building America Grant Guidance*

Content:

Grant Overview

The ABA grant program is intended to support a coordinated, national investment strategy that aims to strengthen and modernize the Registered Apprenticeship Program (RAP) system centered on equity and promote Registered Apprenticeship as a workforce development solution. The ABA grant program will expand opportunities in RAPs and Certified Pre-Apprenticeship programs that lead to RAP enrollment during the grant period of performance.

Through this funding, the Northern Indiana Workforce Board (NIWB) seeks to:

- Strengthen partnerships with local employers.
- Address skill gaps in high-demand occupations within the community.
- Support workforce advancement and career progression for employees.

NIWB's overarching goal is to continually expand both certified pre-apprenticeships as well as apprenticeship opportunities within Indiana's DOL approved RAPs. NIWB will prioritize the following objectives when implementing the ABA grant:

- **Engagement:** Activities that advance equity for all, including people of color and others who have been historically underserved, marginalized, and adversely affected by persistent poverty and inequality.
- **Service Delivery, Marketing, and Targeted Outreach:** Service to all eligible individuals. NIWB will ensure that services align with the goals of effectively serving a diverse population of eligible individuals.
- **Expansion:** Expand apprenticeship opportunities in new industries.

Program Framework Overview

RAPs

A RAP is an industry-driven, high-quality career pathway where employers can develop and prepare their future workforce, and individuals can obtain paid work experience, receive progressive wage increases, classroom instruction, and a portable, nationally recognized credential. All RAPs contain the following five key elements:

- Direct Industry Involvement;
- Structured On-the-Job Learning (OJL)
- Related Technical Instruction (RTI);
- Progressive Wage Increase; and
- National Industry-Recognized Credential.

Pre-apprenticeship Programs

Quality pre-apprenticeship programs play a valuable role in preparing qualified entry-level workers for Registered Apprenticeship careers while contributing to the development of a diverse and skilled workforce. For the purpose of the ABA grant, pre-apprenticeship programs must include the following five elements to be considered a quality pre-apprenticeship program.

- Designed in collaboration with RAP sponsors;
- Meaningful hands-on training that does not displace paid employees;
- Facilitated entry and/or articulation;
- Sustainability through partnerships; and
- Access to appropriate supportive services.

Pre-apprenticeship programs funded through this grant must directly lead to RAPs during the grant period of performance. Pre-apprenticeship programs funded under this grant are to ensure that the skills and competencies being developed align with community industry needs including but not limited to the Target Industries in the table below:

Target Industries and Key Occupations

Industry	Example of Key Occupations and Subindustries
Advanced Manufacturing	Industrial Maintenance, Machinist, Robotics, Engineering Technician
Health & Life Science	Registered Nurses, Nursing Assistants, Medical Assistants
IT & Business Service	Software Developer, Computer Systems Analyst, Systems Security, Business Management
Building & Construction	Electrician, Plumbers/Pipefitters, Carpenters
Educational Services	Teaching & Education
Emerging Industry	Electric Vehicles

Program Validation/Certification

RAPs

Registered Apprenticeships are industry-vetted and approved and validated by DOL or a State Apprenticeship Agency and must abide by the DOL Standards of Apprenticeship and Program Performance Standards.

Pre-Apprenticeship Programs

To ensure that pre-apprenticeship programs are high quality and provide a clear path to a RAP, an ABA funded pre-apprenticeship program must be certified through Indiana's DWD Office of Work-Based Learning and Apprenticeship (OWBLA). The certification process for both existing and newly developed pre-apprenticeship programs will be completed through the use of the Next Level Jobs Portal. Certified Pre-Apprenticeship Program information and data will be housed within the Customer Relationship Manager (CRM).

Program Participant Eligibility

Eligibility for both RAPs and pre-apprenticeship programs are as follows:

- Individuals served must be at least 16 years of age who are not already enrolled in a RAP at the time of initial grant service;
- Legally entitled to work in the United States; and
- Participants must be enrolled in a RAP or Certified Pre-Apprenticeship prior to the end of the grant's period of performance.

NOTE: Veterans and eligible spouses must receive priority of service for all DOL funded job training programs. Veterans must meet each program's eligibility criteria to receive services under the respective employment and training program.

Use of Funds and Maximum Allowable Amounts

The following activities may be provided with grant funds for RAP and pre-apprenticeship participants.

Related Technical Instruction (RTI)

ABA Grant funds can be used to fund RTI for both RAP and Certified Pre-Apprenticeship programs. RTI providers identified within an approved RAP and/or OWBLA Certified Pre-Apprenticeship program must be listed on DWD's INTraining and Eligible Training Provider Lists (ETPL). These approved programs will be identified as Apprenticeship or Certified Pre-Apprenticeship.

- ABA Grant funds may be used in RTI course work as defined within approved RAP or Certified Pre-Apprenticeship Program.
- All RTI training funded by the ABA grant must be recorded within Indiana Career Connect (ICC).

On the Job Learning (OJL)

ABA Grant funds can be used with OJL for RAP and Certified Pre-Apprenticeship programs.

OJL is provided by an employer to a paid participant while engaged in productive work in a job as part of a RAP or Certified Pre-Apprenticeship Program. ABA funds may be used to provide reimbursement to the employer of up to 50% of the wage rate of a participant for the extraordinary costs of providing the training and additional supervision related to the training. OJL programs must:

- Provide knowledge or skills essential to the full and adequate performance of the job; and
- Be limited in duration as appropriate to the occupation being trained, and as defined within the RAP or Certified Pre-Apprenticeship program.

NOTE: RAP OJL providers (employers) are not required to be on the ETPL, unless they provide RTI, but are required to be added as a provider in ICC.

Supportive Services

ABA Grant funds can be used for supportive services in both RAP and Certified Pre-Apprenticeship programs. NIWB may use up to 20% of total grant funds to provide supportive services to individuals who are participating in education and training activities provided through the grant, only when such services:

- Cannot be obtained through other programs; and
- Necessary to enable individuals to participate in education and training activities under the grant.

NOTE: where stipends for supportive services are provided, the stipend amount must be for costs of a specific supportive service (e.g., childcare), rather than simply based on an unidentified need.

Maximum Allowable Amounts

Category/Service	Maximum
Administrative Costs	Up to 5% of award
Program Maintenance and Support	Up to 20% of award
Supportive Service Cost	Up to 20% of award
RTI/OJL Costs for Certified Pre-Apprenticeship	Up to 10% of award
RTI with RAP	No percentage limit of award
OJL with RAP	No percentage limit of award

DWD Grant Performance Management

Apprenticeship grant performance is managed by the DWD OWBLA. To ensure data entry is timely and reported activities and outcomes are accurately supported with the appropriate source documentation, performance outcomes will be reviewed and compared to establish milestones at least quarterly. OWBLA's grant performance management process may include, but is not limited to, reviews of the following:

- Case Management and Client Relationship Manager (CRM) system reports;
- Electronic participant records; and
- Financial records.

Technical Reviews

In the event that NIWB does not meet established performance milestones for a particular quarter, OWBLA will request a one-on-one meeting with NIWB and staff delivering the ABA grant activities. Potential interventions include but are not limited to the following:

- Provide additional technical assistance;
- Provide strategy suggestions; and
- Provide insight into Federal Regulations and DWD policy.

The ABA grant is non-formula funded and will be subject to applicable requirements and practices specified in DWD's *Non-Formula Grant Performance Management* policy.

In addition to the grant management and performance protocols described herein, grant performance outcomes will be reviewed and assessed during routine DWD grantee monitoring and may result in monitoring findings, including questioned or potentially disallowed costs, and corrective action requirements.

EO Procedures

1. **Monthly Follow-Up with Sub Recipients:** The ABA Manager follows up with sub-recipients on a monthly basis to ensure compliance and to address any issues promptly.
2. **EO Complaint Protocol:** In the event of an Equal Opportunity (EO) complaint, the ABA manager would forward all documented information to the EO Officer immediately.
3. **Designated Contact:** All EO complaints must be directed to Barbara White at admin@niwb.org
4. **Timely Submission:** It's crucial that all EO complaints are submitted to the EO officer within the first 24 hours of the complaint being made to ensure swift resolution and adherence to protocol.

Training Procedures

1. **ABA Guidance and Training Sessions:** NIWB does weekly check-ins with the ABA Manager and provides guidance and training as needed. All programs are discussed and approved and monitored.

2. **State-Level Trainings:** The ABA Manager is required to attend any and all trainings facilitated at the state level, ensuring that they stay updated on the latest practices and regulations in the field.

Northern Indiana Workforce Boards Grant Expectations

NIWB will ensure all grant activities address program goals which must include, at a minimum, the following activities:

- Facilitate the creation and scaling of Registered Apprenticeship Programs (RAPs), especially in high-demand and underserved industries and communities.
- Collaborate with employers, training providers, labor unions, and community-based organizations to support apprenticeship pathways and align them with our local workforce needs.
- Remove barriers and expand opportunities for underrepresented populations.
- Track outcomes, ensure compliance with federal reporting requirements, and use data to evaluate program success and inform continuous improvement.

Data Collection and Eligibility Documentation

The Northern Indiana Workforce Board (NIWB), as the grant recipient, will collect and record participant data services and outcomes into the approved electronic systems accurately and timely. Participants and employers served by the ABA grant must be fully documented in ICC and the CRM system. Certified Pre-Apprenticeship program's information and data will be housed within the CRM.

NIWB is required to submit individual participant records that include information on demographics, services received, and resulting outcomes. Program eligibility must be verified through the collection and maintenance of supporting documentation within the approved information systems.

All ABA staff must access, maintain, and store participant information in a manner that ensures confidentiality in accordance with all federal and state guidance related to confidentiality and handling of protected information.

Co-Enrollment

To meet all data elements of apprenticeship grant reporting, participants are required to be fully enrolled into both Wagner-Peyser (WP) and the Apprenticeship Grant.

NIWB requires that staff follow the Co-Enrollment and Common Exit policy to improve participant outcomes through strategic co-enrollment as well as leverage other funding sources to provide braided and comprehensive service delivery. Programs potentially eligible for co-enrollment include but are not limited to Workforce Innovation and Opportunity Act programs, state funded programs, and programs funded through philanthropy.

Quarterly Progress Reports and Invoicing

NIWB is required to report grant activities, expenditures, and performance outcomes on a quarterly basis. NIWB must prepare and electronically submit the following quarterly grant progress reports to the OWBLA Grant Manager at WBL@dwd.in.gov.

- ABA Grant – Quarterly Narrative Report
- ABA Grant – Quarterly Staffing, Time Charging and Point of Contact (POC)
- ABA Grant Invoice
- ABA Grant – Quarterly Productivity Report

ABA Grant Quarterly Report Due Dates

ABA Grant Timeline and Quarters - Reports Due ²³					
Quarter		Quarterly		Years	# Of Quarters
Quarters	Begins	Quarter Ends	Reports Due		
Jan, Feb, March	January 1st	March 31st	April 15th	2023, 2024, 2025, and 2026	4
April, May, June	April 1st	June 30th	July 15th	2023, 2024, 2025, and 2026	4
July, Aug, Sept	July 1st	September 30th	October 15th	2023, 2024, and 2025	4
Oct, Nov, Dec	October 1st	December 31st	January 15th	2023, 2024, and 2025	4
Total Quarters					16

Local-Level Oversight & Monitoring

NIWB must include the apprenticeship grants in local oversight and monitoring processes to ensure grant funds are being spent appropriately, grant participants are progressing according to RAP guidelines, and data entry and documentation requirements are being followed.

Attachment A: *Quality Framework for Pre-Apprenticeship Programs*

Attachment B: *Examples of the ABA Grant's Quarterly Reports*

For questions, contact:

Northern Indiana Workforce Board
220 Colfax Ave., South Bend, IN. 46601
admin@niwb.org

Attachment A: Quality Framework for Pre-Apprenticeship Programs

1. Designed in collaboration with RAP sponsors.

- a) Quality pre-apprenticeship programs are designed with input from a RAP sponsor. A pre-apprenticeship program's educational and pre-vocational services prepare individuals to meet the entry requisites of one or more RAPs. They have training goals to teach participants a defined set of skills required and agreed upon by the RAP sponsor for entry into their programs. The start date and length of specific pre-apprenticeship programs may vary. Ideally, pre-apprenticeship programs provide an industry-recognized credential and possibly stipends or wages.

2. Approved training and curriculum

- a) Training and curriculum based on industry standards and approved by the documented Registered Apprenticeship partner(s) that will prepare individuals with the skills and competencies needed to enter one or more Registered Apprenticeship program(s);

3. Strategies for long-term success

- a) Strategies, that increase Registered Apprenticeship opportunities for under-represented, disadvantaged, or low-skilled individuals, such that, upon completion, they will meet the entry requirements, gain consideration, and are prepared for success in one or more Registered Apprenticeship program(s) including the following:
 - o Strong recruitment strategies focused on outreach to populations underrepresented in local, state, and national Registered Apprenticeship programs;
 - o Educational and pre-vocational services that prepare individuals to meet the entry requisites of one or more Registered Apprenticeship programs (e.g. specific career and industry awareness workshops, job readiness courses, English for speakers of other languages, Adult Basic Education, financial literacy seminars, math tutoring, etc.); and
 - o Assists in exposing participants to local, state and national Registered Apprenticeship programs and provides direct assistance to participants applying to those programs.

4. Access to appropriate supportive services

- a) Quality pre-apprenticeship programs facilitate access to appropriate supportive services during the program; these supportive services may continue after the participant leaves the pre-apprenticeship program and enters a RAP. Services may include counseling, transportation assistance, childcare, and rehabilitative services, among others.

5. Sustainability through partnerships

- a) To support the ongoing sustainability of a quality pre-apprenticeship partnership, such partnerships collaboratively promote the use of RAPs as a preferred means for industry to develop a skilled workforce and to create career opportunities and pathways leading to RAP enrollment for individuals.

6. Meaningful hands-on training that does not displace paid employees.

- a) Quality pre-apprenticeship programs provide hands-on training to individuals in:
 - o A workplace
 - o Simulated lab experience

- o Work-based learning environment, and also do not supplant a paid employee, while accurately simulating the industry and occupational conditions of the partnering RAPs, which includes observing proper supervision and safety protocols.

7. Facilitated entry and/or articulation

- a) The purpose of a pre-apprenticeship program is to train individuals for entry into RAP. A quality pre-apprenticeship program assists in exposing participants to local, state, and national apprenticeship programs and provides direct assistance to participants applying to those programs. Whenever possible, formalized agreements exist with RAPs that enable individuals who have successfully completed the pre-apprenticeship program to enter directly into a RAP. These may also include articulation agreements that allow the individual to earn advanced credit/placement for skills and competencies already acquired.

Attachment B: Examples of the ABA Grant's Quarterly Reports

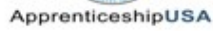
ABA Grant - Quarterly Narrative Report	
Author:	
LWDB:	
Quarter Ending:	
Date Submitted:	
Please provide an executive summary of all ABA Grant activities within your local area for the current quarter while addressing the following: Outreach efforts, employer engagement, registered apprenticeship expansion, and any partnership development or related work in addressing DEIA.	
Please summarize how the local area is leveraging their resources and funding to support the implementation of the grant. Leveraged resources may include monetary support or in-kind donations.	
Please summarize what activities, events, meetings and/or efforts were taken by the local area this quarter to meet or exceed the LWDB's performance metrics. If metrics were not met, please summarize what measures will be implemented to meet performance metrics next quarter.	

Please summarize this quarter's supportive services and/or any specialized participant services provided to the participants of the ABA Grant. Please include a description of the type(s) of services offered, how they were delivered, and how they contributed to a participant's ability to fully participate in grant-funded activities.

Describe in detail any promising practices, innovative processes, lessons learned, and success stories during this quarter. If appropriate, please highlight one or two grant or participant-level success stories from this quarter (with the participant's permission).

Please provide or describe any Technical Assistance (TA) needed, and/or how better OWBLA may support your local area.

ABA Grant - Quarterly Staffing, Time Charging and Point of Contact (POC)				
Point of Contact for the ABA Grant				
Individual Name, Title, and all contact information	Name:	Title	Phone:	Email:
Main Contact				
Back Up Contact				
Time charged to the ABA Grant				
Below: List all staff charging time to the ABA Grant this quarter.				
Individual Name and Title	Activity	Total Monthly Hours	Cost Per Hour	Program Funds
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
Cumulative Total Cannot Exceed 20% of Program award			Total	\$0.00
Travel charged to the ABA Grant				
Below: List all staff charging travel costs to the ABA Grant this quarter.				
Individual Name	Purpose of Travel	Quarterly Mileage	Cost of Travel	Program Funds
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
Cumulative Total Cannot Exceed 20% of Program award				\$0.00
Quarter Ending - Total Time and Travel				\$0.00



Invoice #:

Sub-

Grantee:

Total Due This Invoice:	\$ -
-------------------------	------

Date _____

Invoice #: 0
 Invoice Date: 0
 Grant Name: ABA Grant IN AP-38633-22-
 60-A
 Contract Number: 0
 PO Number: 0
 Sub-Grantee: 0
 Invoice Request Period: Jan-00

Department of Workforce Development Grant Invoice Expense Detail - ABA Grant

Budget Categories	Expense Amount	Expense Description - Please provide a brief description of the expenses included in the submitted grant invoice.
Administration Costs		
Program		
Maintenance and Support Program		
Contracted Services		
OJL/RTI		
Training		
Miscellaneous/Supplies and Materials		
Supportive Services		
Pre-Apprentice(ship)		

