

## **New York State Department of Labor (NYSDOL)**

### **Apprenticeship Expansion Grant (AEG)**

#### **Request for Applications (RFA) AEG-1**

#### **Questions and Answers Pertaining to the RFA**

(Updated 02/11/19. New questions and answers are posted at the end of weeks that they are received and indicated below after each revision date.)

Funding opportunity announcements are available at the New York State Department of Labor website at <https://labor.ny.gov/businessservices/funding.shtm>.

**Q #1) Is reimbursement based on performance or service provided or a combination of both?**

A #1) Reimbursement is based on service provided. (see Section VIII.B.) Once you develop a contract and it is formally executed, the funds will be released on a cost reimbursement basis in agreement with the cost per apprentice and hours of training indicated in the contract budget. You must first pay for incurred expenses and then submit a voucher to NYSDOL for reimbursement. For cost reimbursements to be approved, you will need to keep certain records, submit specific documents, and provide documentation which will be negotiated as part of the contract development process showing that the services were provided.

***New Questions as of 06/05/17 start below:***

**Q #2) We want to use an existing credentialing program as an apprenticeship model. We would like to implement this program in at least two regions in the state, possibly three. Can each region propose its own \$100,000 project or is it advisable to propose one multi-site project?**

A #2) Section III.A. of the AEG RFA states that an eligible applicant must be a sponsor of an active or probationary NYS RA program, a lead applicant designated by a sponsor of an active or probationary NYS RA group program, or be an applicant for a NYS RA program whose application has been received by NYSDOL and posted on the NYSDOL website for public comment. As such, each region can propose its own \$100,000 project provided that each region also meets the criteria described above. To apply for a NYS RA program, contact your local NYSDOL Apprenticeship office at the following link: <https://labor.ny.gov/apprenticeship/contactus.shtm>. Please note, awards cannot be made until the applicant has a NYSDOL approved NYS RA program.

***New Questions as of 06/06/17 start below:***

**Q #3) How do you calculate the "Weeks of Training" for a program that runs for 2 to 4 years? What is the starting date for the apprentice training?**

A #3) Due to the federal expiration date of April 30, 2019 for AEG funds, applicants should include only those weeks of training and service activities that can be reasonably accomplished by that date. The earliest start date for any contract resulting from this RFA is the date of the award letter. Any activity that begins and/or is paid for prior to the date of the award letter will fall outside the contract period and be ineligible for reimbursement.

***New Questions as of 6/9/17 start below:***

**Q #4) When you refer to "new apprentices" on page 2 and throughout, does that mean that we cannot seek support for apprentices currently enrolled in an RA program?**

A #4) Correct, the purpose of the AEG is to expand Registered Apprenticeship (RA) training by increasing employment opportunities for approximately 800 new apprentices with a focus on underrepresented populations (see Section I.A.). As the intent of the AEG is to increase the number of new apprentices, you would not be able to seek reimbursement for any apprentices that were enrolled into an RA program prior to the date of the award letter.

**Q #5) May a school district apply? If so, may the program be implemented and serve students throughout any district(s), even those that may fall outside of district boundaries?**

A #5) The AEG RFA states that an eligible applicant must be a sponsor of an active or probationary NYS RA program, a lead applicant designated by a sponsor of an active or probationary NYS RA group program, or be an applicant for a NYS RA program whose application has been received by NYSDOL and posted on the NYSDOL website for public comment (Section III.A.). The only restriction regarding where services are provided geographically is that any award granted must be expended on program activities in New York State (Section VI.A.10.)

**Q #6) Are not-for-profits eligible?**

A #6) Under this RFA, an eligible applicant must be a sponsor of an active or probationary NYS RA program, a lead applicant designated by a sponsor of an active or probationary NYS RA group program, or be an applicant for a NYS RA program whose application has been received by NYSDOL and posted on the NYSDOL website for public comment (see Section III.A.).

**Q #7) Is a HS diploma or HSE required of program participants?**

A #7) Individuals 18 years of age and older who meet the minimum eligibility requirements for enrollment into a NYS RA Program are eligible under this RFA (see Section III.B.). Minimum eligibility requirements are determined by sponsors and indicated on the Apprentice Training Recruitment Notification and Minimum Qualifications Form AT-505, <https://www.labor.ny.gov/formsdocs/app/AT505.pdf>.

**Q #8) Are partnerships between districts, not-for-profits, and industry encouraged and given greater consideration?**

A #8) In order to receive points under Section VII.B.2.e. of the RFA, applicants must highlight the available resources, both its own and those in the targeted community, that will be utilized/leveraged to maximize the effectiveness of the program and improve employment outcomes for all parts of the workforce. That being said, the only applications given greater consideration under the AEG are those projects that propose to hire apprentices in the priority industries of Advanced Manufacturing, Healthcare, and Information Technology (see Section VII.B.2.j.).

***New Questions as of 6/12/17 start below:***

Q #9) While looking over the request for applications for the Apprenticeship Expansion Grant, we were reviewing the Applicant Eligibility which states, “an eligible applicant must be a sponsor of an active or probationary NYS RA Program, a lead applicant designated by a sponsor of an active or probationary NYS RA group program, or be an...” We are currently working with a union to provide additional funding to eligible applicants to enter the Electrical Joint Apprenticeship and Training Program. I am not sure if this qualifies us to apply for the Apprenticeship Expansion Grant. We do not currently have a signed contract or a Memorandum of Understanding with the union. This is offered under our WIOA Adult Funds. However, with limited funding we are looking for additional funding opportunities.

A #9) Eligible applicants must be a sponsor of an active or probationary NYS RA program, a lead applicant designated by a sponsor of an active or probationary NYS RA group program, or be an applicant for a NYS RA program whose application has been received by NYSDOL and posted on the NYSDOL website for public comment (see Section III.A.) A **Lead Applicant** is only applicable to sponsors of group RA programs. It means an entity that is **already** a member of the sponsor’s governing body, which has its own FEIN, and has the authority to apply for and enter into a contract on behalf of the sponsor. This may be a labor union, an association, or any employer/signatory company serving on a sponsor’s JAC/JATC, Board of Directors, or other governing body.

Please note, the purpose of the AEG is to promote the expansion of RA and as such, RAs in the field of construction (O\*NET Family Code 47) are not eligible for funding under this RFA **unless** the trade is to be used for the upkeep and maintenance of a facility owned by the business entity employing the apprentice. (see Section II.B.2.).

Q #10) On page 9, it states “awards cannot be made until the applicant has a NYSDOL approved NYS RA program.” However, in the case that a new apprentice sponsor has their program on probation or doesn’t get their program fully approved before April 30, 2019, can awards be reimbursed on a retroactive basis after the April 30, 2019 deadline? What type of circumstances would land a program on probation?

A #10) Awards cannot be made until the applicant has, at minimum, a NYSDOL approved NYS RA program. Please note that all newly approved RA programs must undergo a two-year probation. RA programs on probation are eligible to apply and receive AEG funding during the probationary period. The AEG funding will expire on April 30, 2019 and all services funded under this grant must be provided by this date.

Further information on Registered Apprenticeship programs and probation may be found at: [https://labor.ny.gov/apprenticeship/pdfs/Part%20601%20\(eff%202-9-11\).pdf](https://labor.ny.gov/apprenticeship/pdfs/Part%20601%20(eff%202-9-11).pdf).

***New Questions as of 7/5/17 start below:***

Q #11) Can an LWDB act as a sponsor and apply on behalf of a group of employers from one particular sector if there is a MOU/authorization to apply for funds agreement in place?

A #11) Eligibility criteria has been discussed in question #9 of the Q & A, above. An LWDB can only apply if it is **already** a member of the sponsor’s governing body, has its own FEIN, and has the authority to apply for and enter into a contract on behalf of the sponsor.

**Q #12) What is an RA Program?**

A #12) RA stands for Registered Apprenticeship. Registered Apprenticeship programs are conducted by employers, jointly by employers and unions, or by groups of employers. The State Department of Labor registers apprenticeship programs, working with forward-looking businesses across the state to develop the skilled workforce of the future. More information on RA can be found on the NYSDOL Website, here: <https://labor.ny.gov/apprenticeship/appindex.shtm>.

**Q #13) Is there a list of available training providers?**

A #13) Yes. A list of current registered apprenticeship training program sponsors who oversee and provide training in the trade can be found on the NYSDOL Website, here: <https://labor.ny.gov/apprenticeship/sponsor/index.shtm>.

**Q #14) Does training have to be provided by a Registered Apprenticeship program provider?**

A #14) Training must be provided by the RA sponsor's approved RI provider or provided by journeyworkers within a Registered Apprenticeship Program for OJT.

The RI conducted (as indicated on the RI Availability Form [AT-8](#)) must instruct topics listed in Appendix B of the trade's training outline. OJT will be "hands-on" training and supplemented by the RI. (Section II.B.1.a.)

**Q #15) Can someone who has an advanced degree still get training if they are within the hourly rate guidelines?**

A #15) Any individual can be enrolled as an apprentice if they meet the sponsor's minimum requirements for entry into the program.

**Q #16) Can we provide training in Robotics?**

A #16) Any regional, in-demand occupation is allowable under the AEG RFA. Extra points, however, will be awarded to any application that proposes to train apprentices in the fields of Advanced Manufacturing, Healthcare and Information Technology.

NYSDOL staff will work with Sponsor applicants to develop new trades and/to determine if a trade is apprentice-able as defined in NYS Apprenticeship Regulations Part 601 ([https://www.labor.ny.gov/apprenticeship/pdfs/Part%20601%20\(eff%202-9-11\).pdf](https://www.labor.ny.gov/apprenticeship/pdfs/Part%20601%20(eff%202-9-11).pdf))

Please note that this solicitation focuses on promoting the **expansion** of RA and as such, RAs in the field of construction are not eligible for funding under this RFA unless the trade is to be used for the upkeep and maintenance of a facility owned by the business entity employing the apprentice. (Section VII.B.2.a.)

**Q #17) Can we provide soft skills training, e.g., Leadership, DiSC assessments, etc.?**

A #17) Allowable training costs under the AEG are On the Job Training (OJT), Related Instruction (RI), Books and Tools (Section II.B.1.)

Related Instruction is limited to the topics listed in Appendix B of the trade's training outline. Examples of current training outlines may be found on the Department's website at: <https://www.labor.ny.gov/apprenticeship/general/occupations.shtm>

**Q #18) Can we use training money towards a certificate program?**

A #18) Allowable training costs under the AEG are On the Job Training (OJT), Related Instruction (RI), Books and Tools (Section II.B.1.)

Related Instruction is limited to the topics listed in Appendix B of the trade's training outline. Examples of current training outlines may be found on the Department's website at: <https://www.labor.ny.gov/apprenticeship/general/occupations.shtm>

At completion of the training, Apprenticeship will receive a NYSDOL issued Certificate of Completion.

***New Questions as of 7/6/17 start below:***

**Q #19) We currently have a new hire that is now in the introductory period (90 days) for our Apprentice Program. She started her employment on May 22, so her introductory period will end on August 21st. After the introductory period has been met, we will credit her 90 days to time earned towards the Program. Are we entitled to the OJT training reimbursement as of now or do we have to wait until she finishes her 90 days and officially enters the mold-maker apprentice program?**

A #19) The purpose of the AEG is to expand Registered Apprenticeship (RA) training by increasing employment opportunities for approximately 800 new apprentices with a focus on underrepresented populations (see Section I.A). Please note introductory periods are not a recognized component of the NYS Registered Apprenticeship Program. Reimbursements will only be paid for costs incurred from the date the apprentice is officially enrolled in a Registered Apprenticeship Program. This official enrollment date must occur after the date of award, as any activity that begins and/or is paid for prior to the date of the award letter will fall outside the performance period and be ineligible for reimbursement.

***New Questions as of 7/12/17 start below:***

**Q #20) Can a sponsor receive AEG Grant funding while receiving other types of federal or state grants or tax credits for the same apprentice?**

A #20) Yes. Once awarded and contracted, all proposed training activities must be completed under the AEG grant. The costs funded by the other grants would need to be for additional expenditure beyond the training expenditures funded by the AEG grant. For example, if training for the apprentice during the AEG grant period costs \$7,000 and the AEG grant is paying for \$3,000 of this cost, the other grants can be used to pay for the remaining \$4,000 not covered by the AEG grant.

**Q #21) Once an award letter is received, how long will it take to obtain an executed contract?**

A #21) The timeframe for executing a contract varies. A contract would be executed after award is made, terms are negotiated, and approved (through NYS control agencies, if necessary).

**Q #22) What is an apprenticeable occupation? Is a Certified Nurse Aide training program apprenticeable?**

A #22) An Apprenticeable Occupation is defined in the Regulations at §601.3(d) ([https://www.labor.ny.gov/apprenticeship/pdfs/Part%20601%20\(eff%202-9-11\).pdf](https://www.labor.ny.gov/apprenticeship/pdfs/Part%20601%20(eff%202-9-11).pdf))

and means a skilled trade that is learned through a minimum of 2,000 hours of on-the-job training and 144 hours of Related Instruction (RI).

Certified Nurse Aide training programs, as a short-term training program, does not appear to meet the minimal training hours. Apprenticeship programs culminate with a NYS Certificate of Completion. Please note that this does not meet the requirements for *licensed trades* in the Health Care Industry as the oversight of licensing falls under the purview of the State Education Department.

**Q #23) Where can I find a list of demand occupations?**

A #23) For a list of priority industries by region, refer to <https://labor.ny.gov/workforcenypartners/fundingopps/Apprenticeship-Expansion-Grant-RFA-Priority-Industries-by-Region.pdf>. Applicants looking for additional information about priority industries can read through the regional plans and work with their Regional Economic Development Council to identify these industries, referencing that research in their application. The regional plans can be found at <http://regionalcouncils.ny.gov/> and <https://labor.ny.gov/workforcenypartners/lwda/regional-plans.shtm>.

**Q #24) I am a current sponsor. What date do I use on the AT-401 Apprenticeship Agreement form to ensure my apprentice will be covered by the AEG Grant?**

A #24) Reimbursements will only be paid for costs incurred from the date of award (or from the contract start date if negotiated to be later than the date of award) through the planned contract end date, which can be no later than April 30, 2019 unless a federal grant extension is provided. Any activity that begins and/or is paid for prior to the date of the award letter will fall outside the contract period and be ineligible for reimbursement. Once an award letter is received, the [AT-401 Apprenticeship Agreement](#) may be submitted while contracts are being developed.

***New Questions as of 7/21/17 start below:***

**Q #25) How does one apply for AEG, is it paper submission or an online application?**

A #25) Interested parties must apply online via the Grants Gateway website at <https://grantgateway.ny.gov/IntelliGrants/NYSGG/module/nysgg/goportal.aspx>. In order to submit an application, applicants must be registered and logged in to the Grants Gateway as detailed in the RFA (see Section II.E). In order for an application to be considered, the applicant must meet the eligibility criteria outlined in Section III.A., complete all required parts, and upload all the documents or information requested in the Grants Gateway system prior to the submission due date.

For assistance in completing the application, please refer to the Apprenticeship Expansion Grant RFA 2017-18 Grants Gateway Application Instructions at <https://labor.ny.gov/workforcenypartners/fundingopps/AEG-RFA-2017-18-Grants-Gateway-Application-Instructions.pdf>. For any technical questions pertaining to applying through the Grants Gateway, applicants should contact the Grants Reform Helpdesk at 1-518-474-5595 or [GrantsReform@its.ny.gov](mailto:GrantsReform@its.ny.gov).

***New Questions as of 7/24/17 start below:***

**Q #26) In the pre-submissions upload, attachment #5, what information needs to be entered for the “Request for Applications #”?**

A #26) On Attachment #5, the Request for Applications # can be left blank.

**Q #27) Attachment #9 says this form is only applicable to sponsors of group Registered Apprenticeship programs that need to designate a lead applicant because the sponsor is not a legal entity with a Federal Employer Identification Number. This is not applicable to us but the attachment is a required form. How should we proceed?**

A #27) Attachment #9 should be uploaded marked Not Applicable if no lead is being designated.

***New Questions as of 8/9/17 start below:***

**Q #28) Our business has some employees who are classified as having two or more races. Attachment #6, Equal Employment Opportunity Staffing Plan, does not provide a mixed-race category to identify these employees on the form. How should we proceed?**

A #28) The Equal Opportunity Staffing Plan (EEO 100) is a requirement of the United States Equal Employment Opportunity Commission. You can find further information about this requirement online at <https://www.eeoc.gov/employers/eeo1survey/whomustfile.cfm>. Race/ethnic designations as used by the Equal Employment Opportunity Commission do not denote scientific definitions of anthropological origins. For the purposes of this report, an employee may be included in the group to which he or she appears to belong, identifies with, or is regarded in the community as belonging. However, no person should be counted in more than one race/ethnic group.

**Q #29) We were informed that since we are applying for less than \$25,000 in potential grant funding that the forms for Minority and Women Owned Business Enterprises (MWBE) and the waiver do not apply to us. Due to the nature of our on-demand manufacturing business, we are unable to supply extensive documentation to demonstrate good faith efforts to comply with the MWBE goals. These forms are required for upload in the NY Grants Gateway system. How should we proceed?**

A #29) New York State Executive Law Article 15-A is only applicable to contracts \$25,000 or higher. Therefore, no MWBE forms/review would be necessary for any sub-contractors that are less than \$25,000. Attachment 7 and 8 should be uploaded marked Not Applicable.

***New Questions as of 10/31/2017 start below:***

**Q #30) I represent a NYSDOL approved apprenticeship intermediary program and we are hoping that this grant will cover 20 apprenticeships at some of our 14 businesses that we partner with. We have not chosen exactly which businesses would receive the money as it depends on need. Additionally, we propose covering RI and books/tools for each apprenticeship from these grant funds but cannot gauge which exact tools/book and RI will be needed until we can offer the programs. Do we need a level of specificity that shows how many apprentices at each business and which exact training course they will pursue of can we summarize our offerings and past experiences?**

A #30) In order to receive points under Section VII.B.2.f. of the RFA an applicant must provide a complete description of each of the covered components of the apprenticeship training program for which the applicant is seeking reimbursement. Covered components include:

- OJT – describe the training approach and the delivery of OJT (e.g., Time-Based, Competency-Based or Hybrid).
- RI – include the delivery method and/or timeframe (e.g., when RI is completed in relation to OJT - simultaneous, sequential, or front-loaded).
- Books – a list of text/work books is required.
- Tools – a description of the type and use of tools is required.

Q #31) **Our RI is 144 hours per year over the four years. It can be done all up front, or it can be done throughout the process. It's up to the company. Can we apply for this or is the April 30, 2019 deadline mean all these hours must be complete?**

A #31) Section II.D. of the AEG RFA states that contracts will be awarded for an initial term of up to 11 months. There is a federal expiration date of April 30, 2019 for AEG funds, therefore applicants must include only those training and service activities that can be reasonably accomplished by that date. All services funded under this grant must be provided by April 30, 2019. An awardee must first pay for incurred expenses and then submit a voucher to NYSDOL for reimbursement. The AEG RFA can be found here: <https://labor.ny.gov/workforcenypartners/fundingopps/apprenticeship-expansion-grant.pdf>

Q #32) **We offer 7 different Registered apprenticeships with 7 different RTI requirements. It is also difficult to gauge the number of each apprentice that we will bring onboard as that is a company to company decision, not ours. I am confident we will be bringing on an additional 20 apprentices over the next few months, but expansion money would certainly help us to entice new companies to come onboard with us or other companies to add additional apprentices. How can we create a budget that reflects this flexibility?**

A #32) Section VI.B.1 of the RFA states that applicants need only describe the number of new apprentices who will receive services (RI, OJT, books and/or tools) under this proposed project. Furthermore, all proposed expenditures must be reasonable, necessary, and clearly related to the purposes and activities of the services as described in the "Program Specific Questions" section in Grants Gateway under the "Forms" menu. Finally, per section VIII.A. of the RFA, applicants that receive an award under this program, who successfully register at least 80% of the planned number of apprentices into their RA program, or have expended at least 80% of the awarded funds may apply again, if funding and time remain. Therefore, applicants who propose a modest number of participants always have the opportunity to re-apply, should they meet their goals and have need of further funding.

***New Questions as of 11/02/2017 start below:***

Q #33) **Our proposed apprentice program would not start until 2021. Would we be eligible for the grant if we became a NYS RA program now, but would not hire any apprentices until 2021? Recruitment and program development are currently being completed. We would look to**

**purchase books, tools, and vehicles within the grant time table prior to hiring apprentices in 2021.**

A #33) No. The intent of the AEG is to increase the number of new apprentices trained during the grant funding period. Reimbursement for books and tools purchased will only be made in support of training provided to newly registered/enrolled apprentice(s) on or before April 30, 2019 (see AEG RFA Section II.D.).

Vehicles are not an allowable cost.

***New Questions as of 11/22/2017 start below:***

**Q #34) We have two federally registered RA programs but do not have these programs registered with NYS yet. Can we apply for this grant while we are completing the application for submission to NYS? Do we have to wait until you receive the RA application before we submit the grant application?**

A #34) Once your RA application has been received by the Department and posted on the NYSDOL website then you may submit the Expansion Grant application. To apply for a NYS RA program, contact your local NYSDOL Apprenticeship office at the following link: <https://labor.ny.gov/apprenticeship/contactus.shtm>.

Awards cannot be made until the applicant has, at minimum, a NYSDOL approved NYS RA program.

**Q #35) We are projecting to have the program starts in Nov 2017. With that said, if we apply for this grant in December, will the costs for the November classes be covered with this funds from this grant? Or will only costs from December be funded?**

A #35) Reimbursements will only be paid for costs incurred from the date of award. Any activity that begins and/or is paid for prior to the date of the award letter will fall outside the contract period and be ineligible for reimbursement (see Section VIII.B).

**Q #36) Please advise if the grant is required to have all trainings completed by 4/30/18.**

A #36) The AEG funding will expire on April 30, 2019 and all services funded under this grant must be provided by this date.

**Q #37) We will be submitting the grant application under entity Healthcare Industry Grant Corporation which is currently registered in grants gateway. If we submit the RA application to NYSDOL with the sponsor entity as 1199SEIU Training and Upgrading Fund and the entity completing this form as Healthcare Industry Grant Corporation, will we have a problem when we apply for the grant? The 1199SEIU Training and Upgrading Fund is an affiliate of Healthcare Industry Grant Corporation which was set up as a flow through entity to apply for grants.**

A #37) A lead applicant is a member of the sponsor's governing body, has been given the authority to apply for the NYSDOL's Apprenticeship Expansion Grant RFA and enter into contract with NYSDOL on behalf of the sponsor. Therefore, the Healthcare Industry Grant Corporation must be a part of the 1199SEIU Training and Upgrading Fund's Registered Apprenticeship Program sponsor's governing body as described in the AEG RFA. The lead applicant may be designated on Attachment 9, the Lead Applicant Designation Form. <https://labor.ny.gov/workforcenypartners/fundingopps/aeg-rfa-attachment-9.pdf>.

***New Questions as of 11/24/2017 start below:***

Q #38) **Does this grant allow for salaries and benefits for the sponsor and OTPS (Other than Personal Services) for Sponsor or lead applicant (10%)? Is there a cap on the amount of salary and benefits?**

A #38) There are three cost categories in the Budget Worksheet for this program which will serve as the template for contract development, if awarded. The three cost categories are OJT, Related Instruction, and Indirect Costs. Some sponsor or lead applicant costs may fall under Related Instruction and Indirect costs as described below.

Section II.B.1.a of the AEG RGA states that Related Instruction (RI) must be conducted by the RA sponsor's approved RI Provider.

- The cost of RI will then be reimbursed based on a per apprentice amount, in accordance with standard tuition rates for RI, which are developed to include allocable portions of salary, fringe, indirect and other applicable line item costs.
- These standard tuition rates may be published, or in the case of trainers who do not have a published tuition rate, may be calculated using the method described in Section VI.D.1.b.
- The line item costs included in the calculation of non-published tuition rates must be summarized in the Budget Worksheet. The salaries and fringe of staff included in the calculation must be directly related to the provision of services, and this may include the cost of the training instructor if training is being provided by in-house staff. All proposed RI expenditures must be reasonable, necessary, and clearly related to the purposes and activities of the services to be provided by the applicant under the grant.
- Such RI tuition rates are allowable for the sponsor or lead applicant **only** if the sponsor or lead applicant is the RI training provider and is incurring these training costs. If the training is provided by a RI Provider that is not a sponsor or lead applicant, the sponsor or lead applicant contractor must pay the provider first and then seek reimbursement from NYSDOL.
- OTPS expenditures consisting of textbooks or training materials directly associated with the RI are allowable for the sponsor or lead applicant **only** if the sponsor or lead applicant is the RI training provider and is incurring these costs. The textbook or training material costs must be included in the Related Instruction section of the budget, with sufficient details to enable reviewers to determine how these costs were calculated. Refer to Section II.B.2, "Restrictions on the Use of Funds," for exclusions. If the textbooks or training materials are provided by a RI Provider that is not a sponsor or lead applicant, the sponsor or lead applicant contractor must pay the provider first and then seek reimbursement from NYSDOL.

Indirect costs are **only** available to group program sponsors or their lead applicants who **do not** directly provide RI or employ the apprentice for OJT purposes. Indirect costs for this funding opportunity may be reimbursed at the approved federally recognized indirect cost rate negotiated between the applicant and the Federal government if such

rate exists, and if no rate exists, then 10% of the modified total direct costs. (Section VI.D.1.b)

There is a cap per apprentice of \$5,000. Any training and/or associated costs proposed by the applicant that exceeds the \$5,000 per apprenticeship cap, the applicant must pay the difference. Note that this is a cap per apprentice, not an average cost of all apprentices identified in the application. (Section II.B.4).

***New Questions as of 12/01/2017 start below:***

**Q #39) The sponsor will not be providing the direct training, but will contract with a training provider to do so. The Sponsor staff will be implementing the program, provide case management and administering the program. For clarification purposes, would the salary and fringe costs for the Sponsor staff be categorized as “Indirect Costs” on the Budget worksheet (attachment #2)?**

A #39) Due to the limited federal funding available for training under this RFA, the RFA does not allow for sponsors to charge their direct case management costs and administration costs to this funding. However, the RFA does allow a sponsor to charge their federally approved indirect cost rate, or if no such rate exists, 10% of modified direct costs, if the sponsor incurs indirect costs. For example, if the cost of the training provider is \$50,000 and a federally approved rate of 11% exists the indirect amount that may be charged by the sponsor is \$5,500, if the 10% modified direct cost rate is used the indirect amount that may be charged by the sponsor is \$5,000.

**Q #40) We have a worksheet/form we’re using to compile our budget for this application. Will the form need to be completed in Grants Gateway? If so, will the Sponsor staff salaries & fringes be categorized as Personnel Services?**

A #40) Applicants must complete the Expenditure Budget section in Grants Gateway. To assist you, please refer to the AEG RFA 2017-18 Grants Gateway Application Instructions. These instructions can be found in the “Forms Menu” under “Application Information.” Beginning on page 14, detailed instructions will assist you in completing the Expenditure Budget portion of the application.

**Q #41) The RFA states: “Group Program Sponsors or their Lead applicant (those applicants who are designated by a sponsor of an active or probationary NYS RA group program) who are not the RI training provider or the OJT employer are eligible for reimbursement of indirect costs, if incurred.” I’m not sure whether that applies to my program specifically. Can you clarify?**

A #41) If you are unsure if your program is a group program, please contact your Apprentice Training Representative (ATR). ATR contact information may be found at the following link: <https://labor.ny.gov/apprenticeship/contactus.shtm>

***New Questions as of 12/11/2017 start below:***

**Q #42) I am working for Derecktor Shipyard and looking for some information on grants for apprenticeships in boat building. I did some research and saw the posting for the Apprenticeship Expansion Program RFA. I read the eligibility section and was wondering if our company would qualify for the grant given the restriction on the construction field. Since Derecktor Shipyard is not a construction company, still we would need the grant money to fund an apprenticeship in building boats so I was not sure if that fell under the construction**

**category. If we do qualify, I would submit an application to be an applicant for a NYS RA program. Any leads or information would be much appreciated.**

A #42) Yes, you would be eligible to apply for the AEG RFA. Boatbuilder is not considered a construction title so the restriction on the construction field would not apply.

Your first step in the process would be to apply to be a NYS RA program. As stated in section III.A. of the AEG RFA, to apply for a NYS RA program, contact your local NYSDOL Apprenticeship office at the following link:

<https://labor.ny.gov/apprenticeship/contactus.shtm>.

***New Questions as of 1/17/2018 start below:***

**Q #43) I am in the beginning stages of starting the RA Program application. I was wondering if you could give me an average estimate as to how long it takes to complete the application.**

A #43) Once an application is prepared in the field, it is submitted to the Apprenticeship Central Office in Albany. At that time, it is reviewed and simultaneously posted on the Department's website for a 30-day public comment period as required by regulations. Applications that meet the requirements of the regulations may be approved at that time.

For entities interested in applying for a Registered Apprenticeship Program, please contact the Department. A list of staff in your region may be found at:

<https://labor.ny.gov/apprenticeship/contactus.shtm>.

**Q #44) I was wondering if in starting an apprenticeship program, is becoming a RA program the only or best way to do it?**

A #44) Only those apprenticeship programs which are established under the provisions of New York's Labor Law Article 23, Parts 600 and 601, are considered New York State Registered Apprenticeship Programs and eligible for participation in the Apprenticeship Expansion Grant.

***New Questions as of 3/16/2018 start below:***

**Q #45) My question is in regard to the possible amount allotted. It says, "Applicants may apply for up to \$100,000 for each award, where up to \$5,000 per apprentice is allowed to cover costs associated with training apprentices". If we have four apprentices, does that mean that we can only ask for as much as \$5,000/ apprentice or \$20,000 total? Or does that mean that of the total money that we apply for that \$20,000 (total for four apprentices) would have to be designated just for the apprentices?**

A #45) Yes. Under your scenario of serving four apprentices, the maximum you could apply for and get awarded is \$20,000. This amount must be budgeted to cover the direct costs of services for the apprentices, as well as any indirect costs, if incurred and if allowable. Rules regarding the training cap per participant and indirect costs are explained here.

As stated in section II.B.4. of the AEG RFA, NYSDOL will provide awardees with up to \$5,000 for each new apprentice under this RFA; applicants may request funding to support as many apprentices as possible within the \$100,000 maximum award amount.

If the training and/or associated costs proposed by the applicant exceeds the \$5,000 per apprentice cap set above, the applicant must pay the difference.

Section II.B.1.e. notes, Group Program Sponsors or their Lead applicant (those applicants who are designated by a sponsor of an active or probationary NYS RA group program) who are not the RI training provider or the OJT employer are eligible for reimbursement of indirect costs, if incurred.

Indirect costs are defined as costs that are not directly accountable to a particular RFA, contract, program function or activity, but are necessary for the general operation of the organization. As stated in section VI.D.1.b. of the RFA, indirect costs may be either fixed or variable and may include administration, personnel and security costs. Some indirect costs may be overhead. Indirect costs for this funding opportunity may be reimbursed at the approved federally recognized indirect cost rate negotiated between the applicant and the Federal government if such a rate exists, and if no rate exists, then 10% of the modified total direct costs.

### ***New Questions as of 3/26/2018 start below:***

**Q #46) MWBE Utilization Plan (Attachment 7) and Application for Waiver of MWBE Participation Goal (Attachment 8) are part of the application process but they don't seem to apply to us. We don't use outside contractors to support our training, and as such would not need a waiver either. Can we submit without these?**

A #46) As per section V.D. of the AEG RFA, the MWBE Utilization Plan (Attachment 7) and Application for Waiver of MWBE Participation Goal (Attachment 8) are required application attachments. The MWBE Utilization Plan should list the MWBE subcontractors or suppliers the Contractor intends to use to fulfill the contract should the proposed application be awarded. If the applicant will not use subcontractors or suppliers to fulfill services, or will be unable to meet the total MWBE goals, then it must submit the Application for Waiver of MWBE Participation Goal instead of the MWBE Utilization Plan (Attachment 7).

### ***New Questions as of 4/02/2018 start below:***

**Q #47) In reference to the training programs and those awarded the extra points, can we get more context on exactly what is meant by Advanced Manufacturing specifically?**

A #47) Advanced manufacturing involves the use of technology to improve products and/or processes. The Advanced Manufacturing Industry sector includes businesses using computer, high precision, and information technologies extensively in the process of making, buying, or selling goods or providing services. The supply chain includes businesses involved in the movement of products or services to and/or from a business in the advanced manufacturing sector.

### ***New Questions as of 5/16/2018 start below:***

**Q #48) We have been working with one of our more significant employers for a couple of years trying to find funding sources that will help them with training. We have looked at CFA's and other programs, but the problem is that they rarely know 6 months to a year in advance what new trainees they will need. The apprenticeship grant does specify use of O\*NET codes, but do**

**you have to specify how many of each occupation will be trained, or will it work to determine how many new apprentices will be needed, and they identify the various codes that they will pick from at a later time?**

A #48) For this RFA, an eligible applicant must be a sponsor of an active or probationary NYS RA program, a lead applicant designated by a sponsor of an active or probationary NYS RA group program, or be an applicant for a NYS RA program whose application has been received by NYSDOL and posted on the NYSDOL website for public comment. (see: <https://www.labor.ny.gov/apprenticeship/pending-approval.shtm>). Sponsors include individual employers, groups of employers, or partnerships between an employer(s) and a labor union(s). To apply for a NYS RA program, contact your local NYSDOL Apprenticeship office at the following link: <https://labor.ny.gov/apprenticeship/contactus.shtm>. Please note, awards cannot be made until the applicant has a NYSDOL approved NYS RA program.

Furthermore, in order to receive points under Section VII.B.2.a. of the RFA, the applicant must provide the number of new apprentices to be trained, the occupations/trades in which they will be trained, the O\*NET codes for those occupations/trades (refer to Section III.C., above), the number of employees for each participating business, and a brief description of the sponsor.

***New Questions as of 7/03/2018 start below:***

Q #49) **I am interested in applying for apprenticeship for May of 2019 and was wondering would Diagnostic Medical Sonography qualify for this program. The program provides both on the clinical (on the job) training and class room instruction. This profession is in the health care field.**

A #49) Yes, a profession in the Healthcare field could be funded under the AEG RFA. Per section I.A., the purpose of this RFA is to expand Registered Apprenticeship (RA) training by increasing employment opportunities for approximately 800 new apprentices with a focus on underrepresented populations. These new apprentices will enter into trades in high-demand occupations, with a focus on the emerging fields of Advanced Manufacturing, Healthcare, and Information Technology, as well as other in-demand occupations. This funding will cover costs associated with training apprentices through Registered Apprenticeship, such as Related Instruction, On-the-Job training, books, and tools.

As indicated in section III.A., an eligible applicant must be a sponsor of an active or probationary NYS RA program, a lead applicant designated by a sponsor of an active or probationary NYS RA group program, or be an applicant for a NYS RA program whose application has been received by NYSDOL and posted on the NYSDOL website for public comment. (see: <https://www.labor.ny.gov/apprenticeship/pending-approval.shtm>). Sponsors include individual employers, groups of employers, or partnerships between an employer(s) and a labor union(s). To apply for a NYS RA program, contact your local NYSDOL Apprenticeship office at the following link: <https://labor.ny.gov/apprenticeship/contactus.shtm>. Please note, awards cannot be made until the applicant has a NYSDOL approved NYS RA program.

***New Questions as of 7/16/2018 start below:***

**Q #50) Please define “operational software” as noted in section II.B.2 (Restrictions on the Use of Funds).**

A #50) Operational software is software used in the operation of a computer system (e.g. Microsoft). As indicated in section II.B.2 of the AEG RFA, funds will not pay for the cost of any hardware, software, or internet service needed in order to access instruction.

**Q #51) Would instructional software used in the training component of the program be an eligible expense?**

A#51) Yes. As stated in section II.B.1 in the AEG RFA, textbooks or training materials directly associated with the RI are allowable costs. Please note that only items with a per-unit cost of less than \$1,000 are allowed.

***New Questions as of 8/7/2018 start below:***

**Q #52) If an apprentice receives on the job training by one of our machinists, is reimbursement available?**

A #52) Yes. NYSDOL has established an OJT wage reimbursement cap policy for the AEG. The reimbursement level to a business may not exceed 75% of the wage rate of the apprentice for businesses with 100 or fewer employees and 50% of the wage rate of the apprentice for those with more than 100 employees, up to the average hourly wage rate in NYS, which according to the most recent May 2015 Occupational Employment Statistics survey available from NYSDOL’s Division of Research and Statistics is \$27.42. Please refer to Section II.B. 3 for additional details.

As indicated in section B.1 of the AEG RFA, training will be provided to the apprentice(s) by journeyworkers, while meeting the required apprentice to journeyworker ratio for each trade, as determined by the Commissioner of Labor and posted on NYSDOL’s website at <https://labor.ny.gov/apprenticeship/general/occupations.shtm>.

***New Questions as of 11/19/2018 start below:***

**Q #53) What qualifies as underrepresented? Are only underrepresented apprentices eligible?**

A #53) No, underrepresented populations are not the only eligible participants under the AEG RFA. Section III.B. states that individuals 18 years of age and older who meet the minimum eligibility requirements for enrollment into a NYS RA Program are eligible under this RFA. In order to receive five points under the program design component of your application (see Section VII.B.2.d) you must describe how you will recruit/encourage underrepresented populations to apply. In addition to women and minority groups, other underrepresented populations could be those with barriers to employment as defined in the Workforce Innovation and Opportunity Act (WIOA), which includes: displaced homemakers, low income individuals, Native Americans, individuals with disabilities (including youth with disabilities and recovering drug addicts), older individuals, individuals currently and formerly involved in justices system, homeless individuals or homeless youth, youth who are in or have aged out of the foster care system, individuals who are English language learners, individuals who have low levels of literacy, individuals facing substantial cultural barriers, migrant and seasonal farm

workers, and single parents (including single pregnant women).

**Q #54) With respect to grant disbursements, how frequently can vouchers be submitted? For example, can vouchers be submitted each month for OJT hours completed the previous month or is a voucher submitted only when an apprentice completes the entire training curriculum?**

A #54) Reimbursement is based on service provided. (see Section VIII.B. of the RFA) Once you develop a contract and it is formally executed, the funds will be released on a cost reimbursement basis in agreement with the cost per apprentice and hours of training indicated in the contract budget. You must first pay for incurred expenses and then submit a voucher to NYSDOL for reimbursement. For cost reimbursements to be approved, you will need to keep certain records, submit specific documents, and provide documentation which will be negotiated as part of the contract development process showing that the services were provided. Vouchers may be submitted on a monthly basis for reimbursement of expenses for which the contractor has paid.

**Q #55) Can a journeyman have more than one apprentice? For example, our organization supports individuals with disabilities and the typical work structure is a team of three or four individuals, one of whom is the "Journeyman". All or some of the remaining team members may be at the "Apprentice" level with the Journeyman providing OJT to each.**

A #55) It depends on the trade. Ratios for NYSDOL's Registered Apprenticeship trades are listed here: <https://www.labor.ny.gov/apprenticeship/general/occupations.shtm>. The ratio is specific to the trade. Ratios are established to ensure the proper safety, training and supervision of apprentices. A ratio establishes the number of journeyworkers required for each apprentice in a program and on a job site. Ratios are interpreted as follows: in the case of a 1:1, 1:4, there must be one journeyworker for the first apprentice, and four additional journeyworkers for each subsequent apprentice.

***New Questions as of 12/05/2018 start below:***

**Q #56) The links in section II.B.E. of the RFA lead me to a generic Grants Management webpage. Are there more direct links that I can use?**

A #56) Yes. The Grants Reform website has recently been relaunched and rebranded as Grants Management at <https://grantsmanagement.ny.gov>. The RFP links have been updated here. "All interested parties must be registered in the Grants Gateway (<https://grantsmanagement.ny.gov/register-your-organization>) and apply online via the Grants Gateway website at: <https://grantsmanagement.ny.gov/apply-grant>." "Please refer to the Grants Gateway for guides and videos on the Registration and Online Application Process: <https://grantsmanagement.ny.gov/resources-grant-applicants>."

***New Questions as of 01/04/2019 start below:***

**Q #57) We are the recipient of an AEG award to train community health workers. The grant period extends to April 30, 2019. We have identified trainees, RTI educational partner, and training sites. However, we would like to know if there is any flexibility on extending the grant end date for this grant. If there is, please let us know if and what the formal procedure is for extending the grant end date beyond the end of April.**

A #57) Per section II.D. of the AEG RFA “Contracts will be awarded for an initial term of up to 13 months. There is a federal expiration date of April 30, 2019 for AEG funds, therefore applicants must include only those training and service activities that can be reasonably accomplished by that date... Contracts may not end or be extended past April 30, 2019, unless there is an extension of the federal grant or alternative funds are identified. In the absence of any such extensions or funding, all services funded under this grant must be provided by April 30, 2019.”

Q #58) **Will applications be accepted for apprenticeships in industries not listed on the “Priority Industries by Region” table?**

<https://labor.ny.gov/workforcenypartners/fundingopps/Apprenticeship-Expansion-Grant-RFA-Priority-Industries-by-Region.pdf>

**I am wondering whether transit agencies in the state would be eligible to apply for funding to cover costs associated with Coach Operator Apprenticeships.**

A #58) Per section VII.B.2.j. of the AEG RFA, applicants receive an additional five points for training apprentices in regional priority industries (i.e., those industries listed in “Priority Industries by Region” table) and 10 points for training apprentices in priority industries targeted in the RFA (i.e., Advanced Manufacturing, Healthcare, and Information Technology).

The only RAs not allowed under the AEG RFA are those in the field of construction (O\*NET Family Code 47) trade/occupation is to be used for the upkeep and maintenance of a facility owned by the business entity employing the apprentice.

Q #59) **If we have less than 17 trainees (the amount of apprentices specified in the grant), will the grant award be reduced? We ask because we have a fixed cost contracted with our education partners for the total instruction award outlined in our grant.**

A #59) Per section VII.B.4. of the AEG RFA, if at any time prior to or after an award is issued the applicant reduces the number of apprentices to be served, the funding will be proportionately reduced. Note that the cost per apprentice calculated in the proposal may not be exceeded in resulting contracts.

***New Questions as of 02/11/2019 start below:***

Q #60) **We are a business with more than 100 employees applying for support of our apprenticeship program in the field of healthcare. Can we apply for reimbursement of indirect costs such as participant wages while attending trainings?**

A #60) No, as participant wages while attending trainings is not considered an indirect cost, meaning costs necessary for the general operation of the organization as explained further in below.

Per section II.B.1.a. of the RFA, the cost of RI shall be reimbursed based on a per apprentice amount, in accordance with standard **tuition rates** for RI that may be published or in the case of trainers who do not have a published tuition rate, may be calculated using the method described in Section VI.D.1.b.;

Indirect costs are defined as costs that are not directly accountable to a particular RFA, contract, program function or activity, but are necessary for the

general operation of the organization. As stated in section VI.D.1.b. of the RFA, indirect costs may be either fixed or variable and may include administration, personnel and security costs. Some indirect costs may be overhead. Indirect costs for this funding opportunity may be reimbursed at the approved federally recognized indirect cost rate negotiated between the applicant and the Federal government if such a rate exists, and if no rate exists, then 10% of the modified total direct costs.

As such, RI cost reimbursement is limited to tuition, plus a federally recognized indirect cost rate or 10% of the modified total direct costs.

**Q #61) Can we apply for reimbursement of staff salary for the employee that is working overtime in place of the participant until they are trained?**

A #61) No. The only wages covered under the AEG RFA are OJT wage reimbursements for new Apprentices. NYSDOL has established an OJT wage reimbursement cap policy for the AEG. The reimbursement level to a business may not exceed 75% of the wage rate of the apprentice for businesses with 100 or fewer employees and 50% of the wage rate of the apprentice for those with more than 100 employees, up to the average hourly wage rate in NYS. Please refer to Section II.B.3. for additional details.

**Q #62) Tools directly associated with OJT include electronic equipment such as iPads to complete required forms at job sites. Is this an allowable cost under this RFA?**

A #62) Yes. As stated in section II.B.1 in the AEG RFA, tools directly associated with the RI are allowable costs. Please note that only items with a per-unit cost of less than \$1,000 are allowed.

**Q #63) Tools directly associated with OJT includes protective gear for participants such as arm guards and knee pads. Are these allowable costs under this RFA?**

A #63) Yes. As stated in section II.B.1 in the AEG RFA, tools directly associated with the RI are allowable costs. Please note that only items with a per-unit cost of less than \$1,000 are allowed.

**Q #64) Textbooks/training materials directly associated with the RI include CPR/First Aid training. Are these allowable costs under this RFA?**

A #64) Yes. As stated in section II.B.1 in the AEG RFA, textbooks or training materials directly associated with the RI are allowable costs. This includes Occupational Safety and Health Administration (OSHA) and other safety trainings described in Appendix B of the trades training outline. Please note that only items with a per-unit cost of less than \$1,000 are allowed.

***New Questions as of 05/23/2019 start below:***

**Q #65) I'm checking to learn if NYS will run the Apprenticeship Grant again in 2019. Please advise. Thanks.**

A #65) Yes. NYSDOL anticipates releasing a new Apprenticeship Expansion Grant. Please refer to NYSDOL's website,

<https://labor.ny.gov/businessservices/funding.shtm> for all future funding opportunities.

**Q66) We are interested in applying for the Apprenticeship expansion grant. We are registered with the Grants people in NYS. We have recently launched a Federally approved Registered Apprentice Program for Certified Nursing Assistants. We wish to launch another program in June for 10 people and would like to apply for the Apprenticeship expansion grant. I cannot find the online application.**

A #66) The Apprenticeship Expansion Grant application deadline was March 29, 2019. NYSDOL anticipates releasing a new Apprenticeship Expansion Grant. Please refer to NYSDOL's website, <https://labor.ny.gov/businessservices/funding.shtm> for all future funding opportunities.

**Q67) I represent a Registered Apprenticeship Program interested in applying for funds from the AEG program, but of course, we are concerned with the 4/30/19 deadline to expend funds, which would be impossible at this point. Is there a way to apply for the one-year extension mentioned in the RFA, so that funds have to be expended by 4/30/20, or should we wait until the next round of funding to apply?**

A #67) The Apprenticeship Expansion Grant application deadline was March 29, 2019. At this time, you would need to apply for a new Apprenticeship Expansion Grant, which NYSDOL anticipates releasing. Please refer to NYSDOL's website, <https://labor.ny.gov/businessservices/funding.shtm> for all future funding opportunities.