

CHECKLIST 1: IDENTIFYING INFORMATION

- √ **Information sources/documents related to this Checklist:**
 - Sponsor's RAPIDS records
 - Prior Review Reports
 - Form 671, Section I
 - Active Apprentices List
 - Documents showing current journeyworker statistics

SPONSOR IDENTIFICATION INFORMATION CHECKLIST

REGION: _____ STATE: _____

SPONSOR NAME: _____ PROGRAM NUMBER: _____

SPONSOR CONTACT NAME/ADDRESS: _____ DATE PROGRAM REGISTERED: _____

DATE OF THIS REVIEW: _____ DATE OF LAST REVIEW: _____

- | | |
|---|---|
| <input type="checkbox"/> Provisional
<input type="checkbox"/> Remote <input type="checkbox"/> On-site
<input type="checkbox"/> Subsequent Program Review
<input type="checkbox"/> Remote <input type="checkbox"/> On-site
<input type="checkbox"/> Other Review
<input type="checkbox"/> Remote <input type="checkbox"/> On-site | <input type="checkbox"/> Provisional
<input type="checkbox"/> Remote <input type="checkbox"/> On-site
<input type="checkbox"/> Subsequent Program Review
<input type="checkbox"/> Remote <input type="checkbox"/> On-site
<input type="checkbox"/> Other Review
<input type="checkbox"/> Remote <input type="checkbox"/> On-site |
|---|---|

Type & Size of Program: _____ Single Employer _____ Single Employer with a CBA
 _____ Multi-Employer _____ Multi-Employer with a CBA

The following information is as of _____ [date]:

Occupations Covered by Standards	# of Active Apprentices	# of Journeyworkers Who Supervise Apprentices	Current Journeyworker Wage Rate

CHECKLIST 2: PRIOR DEFICIENCIES AND CORRECTIONS

- √ **Information sources/documents related to this Checklist:**
- Prior APR and EAPR Reports
 - Prior Corrective Action and Compliance Action Plans
 - Correspondence in OA's files relating to correcting deficiencies found in prior reviews
 - Sponsor's other records relating to correcting deficiencies found in prior reviews

PRIOR DEFICIENCY CHECKLIST

Date of Finding	Deficiency <i>[Describe briefly – take from prior E/APR Report]</i>	Category of Deficiency <i>Select: Warrants Deregistration/ Does not warrant deregistration</i>	Corrective Step(s) Planned <i>[Take from prior Corrective/ Compliance Action Plan]</i>	Status of Corrective Steps <i>Select: Not started/ In process/ Completed</i>	Recurring Deficiencies, if applicable <i>Select: Yes/No</i> <i>[If yes, also record in current E/APR Tool.]</i>

CHECKLIST 3: ON-THE-JOB LEARNING (OJL)

- √ **Information sources/documents related to this Checklist:**
 - Documents pertaining to the OJL work process schedule and the related-instruction curriculum (see also Checklist 4)
 - Active Apprentices List
 - Individual files of all apprentices who have been active in the program since the program's registration or the last program review, whichever was later
 - Records of apprentices' assignments, trainings, and wages
 - Progress reports or other evaluations of apprentices' performances
 - Records of apprentice actions such as awards of credit for probationary periods, awards of interim credentials, and completions
 - Interview(s) with apprentice(s)
 - Form 671, Section I
 - Documents showing current journeyworker statistics

ON-THE-JOB LEARNING (OJL) CHECKLIST

		Yes	No
1. Substance of OJL			
a.	The sponsor has coordinated OJL with the related instruction provided. (29 CFR § 29.4(d))		
b.	The sponsor has included safety training as part of OJL. (29 CFR § 29.5(b)(9))		
2. Uniform provision of on-the-job work experience and training			
a.	Apprentices received supervised work experience and training on the job, and the allocation of the approximate amount of time spent in each major process follows the outline of the work processes. (29 CFR § 29.5(b)(3))		
b.	Ratio of apprentices to journeyworkers is consistent with proper supervision, training, safety, and continuity of employment, and applicable provisions in collective bargaining agreements, except where such ratios are expressly prohibited by the collective bargaining agreements. (29 CFR § 29.5(b)(7))		
c.	Apprentice-to-journeyworker ratios. The actual ratio of apprentices to journeyworkers/mentors for each occupation as of the date of the review is at least as stringent as the approved ratios as registered in the sponsor's apprenticeship Standards. (29 CFR § 29.5(b)(7)) <i>For each of the sponsor's registered occupations, record below the approved ratio in the Standards, the actual ratio, and whether the actual ratio is at least as stringent as the approved ratio.</i>		
Occupation	Ratio in Standards	Actual Ratio	If the actual ratio is not at least as stringent as the ratio in Standards, please provide a brief explanation.

3. The program sponsor has periodically reviewed and evaluated apprentice performance on-the-job and in related instruction. (29 CFR § 29.5(b)(6))		
4. Apprentices' scheduled wage increases <i>Wage increases may be awarded to the apprentice consistent with the skill acquired. (29 CFR § 29.5(b)(5))</i>		
a. Scheduled wage increases made consistently.		
b. Scheduled wage increases made in accordance with the registered apprenticeship Standards.		
5. Probationary period (29 CFR § 29.5(b)(8))		
a. The probationary period does not exceed 25 percent of the length of the program, or one year, whichever is shorter.		
b. The sponsor has uniformly given full credit for the probationary period toward the completion of apprenticeship.		
6. Advanced credit. The program sponsor grants advanced credit for previously demonstrated competency, acquired experience, training, or skills to all applicants equally, with commensurate wages for any progression step so granted. (29 CFR § 29.5(b)(12))		

CHECKLIST 4: RELATED INSTRUCTION

√ **Information sources/documents related to this Checklist:**

- Documents pertaining to the administration and delivery of related instruction (whether the instruction is provided by the sponsor, participating employer(s), or a third party) and showing: curriculum; methods of delivery; hours taught; and the background of the instructors who provide related instruction
- Related-instruction class attendance records
- Sponsor’s employer acceptance agreements
- Individual files of all apprentices who have been active in the program since the program’s registration or the last program review, whichever was later
- Interview(s) with apprentice(s)

RELATED INSTRUCTION CHECKLIST

	Yes	No
1. Substance of related instruction		
a. The related instruction follows the curriculum/outline of subjects as defined in the program Standards.		
b. Safety training included as part of the related instruction. (29 CFR § 29.5(b)(9))		
2. Method(s) of related instruction		
a. Identify the related instruction delivery system(s) (electronic media, classroom, correspondence, home study) and the source (vocational-education center, program sponsored, etc.) that have been used: (29 CFR § 29.5(b)(4)) _____		
b. Related instruction provided via the method specified in the program Standards (i.e., classroom, on-line, correspondence, etc.). (29 CFR § 29.5(b)(4))		
3. Actual provision of related instruction (29 CFR § 29.5(b)(4))		
a. At least ___ [fill in number] hours per year of related instruction actually provided, in accordance with the Standards.		
b. Related instruction as approved in the sponsor’s Standards provided consistently. (29 CFR § 29.5(b)(4))		
c. Apprentices have been attending regularly and as prescribed.		
4. Progress Evaluations		
a. The program sponsor periodically reviewed and evaluated apprentices’ performance on the job and in related instruction. (29 CFR § 29.5(b)(6))		

5. Requirements regarding instructors	
<p>a. Every apprenticeship instructor either meets the State Department of Education's requirements for a vocational instructor in the state of registration, or is a subject matter expert (such as a journeyworker) who is recognized within an industry as having expertise in a specific occupation. (29 CFR § 29.5(b)(4)(i))</p>	
<p>b. Every apprenticeship instructor receives training in teaching techniques and adult learning styles, either before or after that instructor started to provide the related instruction. (29 CFR § 29.5(b)(4)(ii))</p>	

CHECKLIST 5: PROGRAM OPERATION – 29 CFR Part 29, Subpart A

√ **Information sources/documents related to this Checklist:**

- Administrative/operational files relating to monitoring quality of program
- Individual files of all apprentices who have been active in the program since the program’s registration or the last program review, whichever is later
- Active Apprentices List
- Administrative/operational files relating to personnel assigned to monitor the apprenticeship program and provide assistance to the apprentices with their complaints or concerns
- Sponsor’s RAPIDS account
- Apprenticeship Committee minutes (as appropriate)

PART 29, SUBPART A PROGRAM OPERATION CHECKLIST

	Yes	No
1. Record-keeping and updating		
<p>a. Active Apprentices List. There were no significant discrepancies (in apprentices, completions, etc.) between the RAPIDS-generated Active Apprentice List and the sponsor’s data – in other words, the sponsor generally kept its RAPIDS account up-to-date. (29 CFR § 29.5(b)(23))</p> <p><i>Describe the nature of and reasons for any significant disparities below.</i></p> <p>_____</p> <p>_____</p> <p>_____</p>		
<p>b. The program sponsor maintains all required records. (29 CFR §§ 29.5(b)(6), 29.5(b)(23), 30.3(b)(2)(iv), and 30.12)</p> <p><i>If no, list the records that were not maintained:</i></p> <p>_____</p> <p>_____</p> <p>_____</p>		
<p>c. The Standards that the sponsor is following in the program are substantively the same as the Standards on file with OA. (29 CFR § 29.3(i))</p> <p><i>If no, record any substantive differences:</i></p> <p>_____</p> <p>_____</p> <p>_____</p>		
2. Responsible staff		
<p>a. There has continuously been an individual with the authority to receive, process, and make disposition of complaints. (29 CFR §§ 29.5(b)(22), 29.7(k))</p> <p><i>Confirm that this contact as entered in RAPIDS is the person currently designated for this role.</i></p>		

Name of designated individual _____ Title of designated individual: _____ Dates of service of designated individual: _____ Name of previously designated individual: _____ Title of previously designated individual: _____ Dates of service of previously designated individual: _____		
b. If the response to item 2(a) is no – that is, if there were periods of time when there was no designated responsible individual – record what the sponsor did to address the situation: _____ _____		
c. The sponsor has procedures in place to ensure that there is a designated responsible individual as soon as possible when a vacancy occurs. <i>If the response is no, note corrective action and/or provide TA for addressing this situation.</i>		
3. Completion Rates (29 CFR § 29.6(c))		
Calculation of completion rates and comparison to national average		
Occupation/FY	Sponsor's Completion Rate (%)	Previous FY's National Average Completion Rate (%)
a. If a sponsor's completion rate is less than the previous FY national average completion rate, record what the sponsor did to address the situation or why it was not addressed (if it was not): _____ _____ _____ _____ _____ <i>Provide TA to assist the sponsor with raising its completion rate(s).</i>		
4. Cancellation Rates		
Occupation/FY	Sponsor's Cancellation Rate (%)	Previous FY's National Average Cancellation Rate (%)

5. Retention Rates		
Occupation/FY	Sponsor's Retention Rate (%)	Previous FY's National Average Retention Rate (%)

CHECKLIST 6: PROGRAM OPERATION – 29 CFR PART 30

√ **Information sources/documents related to this Checklist:**

- Company or program handbooks, manuals, internet pages, and similar documents communicating program’s employment-related policies
- Documents relating to the administration of the apprenticeship program (including personnel assigned to program functions)
- Documents pertaining to the administration and delivery of anti-harassment training, including documents showing the content of the anti-harassment training and when, by whom, and to whom anti-harassment training was provided
- Posted EO Pledges and Complaint Information Notices:
 - For electronic-media postings: Electronic company handbooks, manuals, intranet pages, and similar documents reflecting company employment-related policy
 - For physical postings: An inspection of at least one physical location where individuals apply or interview or apprentices work, or related instruction is provided; in a remote review, photographs and/or other documentation reflecting the required postings
- Records of meetings or other informational sessions with apprentices and those who work regularly with them that covered EEO-related topics
- Sponsor’s employer acceptance agreements
- Universal recruitment-source list
- Announcements of all apprenticeship opportunities
- Records demonstrating to whom, when, and how each announcement of openings was sent
- Requests for reasonable accommodations and records of the program’s response to those requests
- Documents relevant to any external discrimination findings or allegations of unlawful discrimination by the sponsor or any of its participating employers or unions

PART 30 PROGRAM OPERATION CHECKLIST

	Yes	No
1. Individual with EEO responsibility (29 CFR § 30.3(b)(1))		
a. There has continuously been a designated individual or individuals with appropriate authority and resources to be responsible and accountable for overseeing and implementing equal opportunity in registered apprenticeship. (This could be an apprenticeship coordinator or another individual(s).) Name of designated individual: _____ Title of designated individual: _____ Dates of service of designated individual: _____ Name of previously designated individual: _____ Title of previously designated individual: _____ Dates of service of previously designated individual: _____		
b. If the response to item 1(a) is no – that is, if there were periods of time when there was no designated individual with EEO responsibility – record what the sponsor did to address the situation:		

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<p>c. The sponsor has procedures in place to ensure that there is a designated individual with EEO responsibility as soon as possible when a vacancy occurs.</p> <p><i>If the response is no, note corrective action and/or provide TA for addressing this situation.</i></p>		
<p>2. Complaints about harassment. The sponsor has specific procedures for handling complaints about harassment, intimidation, and retaliation. (29 CFR § 30.3(b)(4)(iii))</p>		
<p>a. Anti-harassment training (required since the date of sponsor's registration; or sponsor's most recent APR, whichever is later). (29 CFR § 30.3(b)(4)(i))</p> <p><i>When providing technical assistance about the required anti-harassment training, refer the sponsor to the extensive resource information on the EEO page on OA's website: https://www.apprenticeship.gov/eoo/sponsors/prevent-harassment.</i></p>		
<p>b. Anti-harassment training has been provided to all apprentices.</p> <p><i>If the method of training has been online, record how the sponsor has verified that the apprentices completed it:</i></p> <hr/> <hr/> <hr/>		
<p>c. Anti-harassment training provided to all the individuals connected with the administration or operation of the apprenticeship program, including supervisors, journeyworkers, and individuals who regularly work with apprentices.</p> <p><i>If the method of training has been online, record how the sponsor has verified that these personnel completed it:</i></p> <hr/> <hr/> <hr/>		
<p>d. The format of the provided training involved participation by trainees, such as attending the training in person or completing interactive training online.</p>		
<p>e. The provided training communicated that harassing conduct will not be tolerated, the definition and examples of harassment, and the individual's right to file a harassment complaint with OA. (29 CFR § 30.3(b)(4)(i))</p> <p><i>Confirm that the training contained all the required information whether it was provided by the sponsor, a participating employer, or a third party.</i></p>		

3. Equal Opportunity Pledge and EEO Complaints Information Notice		
<p>a. The sponsor displays its EEO Pledge and the EEO Complaints Information Notice in a prominent, publicly available location, including on electronic media, where all apprentices and applicants could see them. (Pledge: 29 CFR § 30.3(b)(2)(ii); Notice: 29 CFR § 30.14(b))</p> <p style="text-align: center;"><i>Record the location(s) where the Pledge and Notice are posted:</i></p> <p>_____</p> <p>_____</p>		
b. The sponsor published the EEO Pledge in company handbooks, manuals, and similar documents. (29 CFR § 30.3(b)(2)(i))		
c. The sponsor included the EEO Pledge in all apprenticeship opportunity announcements that it has distributed, published, or posted. (29 CFR § 30.3(b)(3)(iii), 30.3(c)(1))		
<p>d. The EEO Pledge has been contained in the Standards that are attached to or referenced in every apprentice's Apprenticeship Agreement. (29 CFR §§ 30.3(b)(2)(i), 30.3(c)(1), 29.5(b)11, 29.7(j))</p> <p style="text-align: center;"><i>Section II of Form 671 embodies the Apprenticeship Agreements.</i></p>		
e. The EEO Complaints Information Notice has been included in all applications for openings in the program. (29 CFR § 30.14(b))		
f. The EEO Pledge and EEO Complaints Information Notice have contained the exact language required by 29 CFR § 30.3(c)(1) (EEO Pledge) and § 30.14(b) (EEO Complaints Information Notice).		
4. Information Sessions on EEO		
a. The sponsor conducted orientation and periodic information sessions for individuals connected with the administration or operation of the apprenticeship program, including all apprentices and journeyworkers who regularly work with apprentices, to inform and remind them of the sponsor's EEO policy. (29 CFR § 30.3(b)(2)(iii))		
5. Universal outreach		
<p>a. The sponsor has prepared a current list of recruitment sources, identifying a contact person, mailing address, telephone number, and email address, that will generate referrals from all demographic groups in the area(s) from which it recruits. (29 CFR § 30.3(b)(3)(i)-(ii))</p> <p style="text-align: center;"><i>If the sponsor has not developed its universal recruitment-source list, or needs to update it, refer the representative to OA's Outreach and Recruitment webpage: https://www.apprenticeship.gov/eo/sponsors/recruit-and-hire.</i></p>		
b. The sponsor's definition of its recruitment area(s) reflects all the geographic areas from which it usually seeks or reasonably could seek apprentices.		
c. Since creating its list of recruitment sources, the sponsor has updated it annually. (29 CFR § 30.3(b)(3)(i))		

6. Provision of advanced notice of openings to recruitment sources		
a. <i>[For sponsors with discrete enrollment/application periods]</i> Each time the sponsor had an opening in its program; it has provided all the recruitment sources on the list with advance notice (preferably 30 calendar days) of those openings. (29 CFR § 30.3(b)(3)(iii))		
b. <i>[For sponsors with continuous enrollment periods ("open enrollment")]</i> The sponsor has sent its position postings to its recruitment sources regularly, as well as whenever there was any change to the posting.		
7. Reasonable Accommodations		
The sponsor has taken the following actions in response to the reasonable accommodation requests it has received: (29 CFR 30.3(a))		
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<i>The sponsor is required to keep these requests and its responses to them on file. (29 CFR 30.12(a)(5))</i>		
8. External Findings or Allegations of Unlawful Discrimination		
a. There have been external findings or allegations of unlawful discrimination in the employment and training of apprentices or applicants for the apprenticeship by the sponsor, any of its participating employers or unions, related-instruction providers, or others connected with the administration or operation of the apprenticeship program.		
<i>Consult the supervisor if there are questions about identifying such findings or allegations or whether or how they have been resolved or are being addressed.</i>		
<i>If the response is yes, complete items 8(b) and (c).</i>		
b. List the external discrimination findings or allegations of unlawful discrimination, showing for each (where possible), the court or agency with which it was filed, the date filed, the name of the complaining party, the name(s) of the parties that were charged with discrimination, the type of discrimination involved (race, color, national origin, religion, sex, sexual orientation, disability, age, and/or genetic information), and the employment practice(s) involved.		
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c. Indicate the status of those findings or allegations and how they have been or are being addressed:		

CHECKLIST 7: SELECTION PROCEDURES

√ **Information sources/documents related to this Checklist:**

- All announcements of apprenticeship opportunities
- Blank application forms used for each opening
- Written tests administered to applicants and scoring mechanisms for those tests
- Forms, checklists, questionnaires, or other standardized documents that the sponsor used during interviews of applicants to its apprenticeship program
- Applicant logs
- All applicant files, including application forms completed by applicants, scoring sheets, interview notes, and any other documents used to assess each applicant
- Written policies regarding progression, awards of interim credentials, and completion, including methods and criteria for assessing if apprentices may progress to any level and may complete the program
- Tests and standardized scoring mechanisms used for progression or completion and standardized written questions used in oral assessments of apprentices
- All apprentices' individual files, including their scoring sheets on these tests and notes of their oral assessments
- If there were no standardized written questions, interviews with the individual or a member of the team who conducted the oral assessments to find out what questions were asked
- Any other records relating to sponsor's initial selection of applicants for admission and of apprentices for progression, completion, and award of interim credentials

For applicant and apprentice files, if there are 10 or fewer, then review all the files. If there are more than 10, select a reasonable number (a minimum of 10 files) on a random basis to review.

CHECKLIST FOR SELECTION PROCEDURES

	Yes	No
1. Conformance with Standards		
a. The selection procedures that the sponsor has used for <i>admission</i> to its program match the written description in its Standards.		
b. The selection procedures that the sponsor has used for <i>progression through and completion</i> of its program, including the award of interim credentials, match the written description in its Standards.		
2. Facial neutrality		
All selection procedures, including selection criteria, that the sponsor has used have been <i>facially neutral</i> (29 CFR § 30.10(b)(4)) in terms of:		
a. Race and color		
b. National origin		
c. Religion <i>There is an exception for religious institutions that only hire people of their own religion and in certain other circumstances. Consult supervisor if a sponsor that is a religious institution includes criteria in its selection procedures that are not facially neutral.</i>		

d. Sex		
e. Sexual orientation		
f. Age (40 and older) <i>Age limits that exclude (or otherwise discriminate against) people age 40 or older are unlawful. But there is no prohibition of discrimination in favor of individuals who are 40 or over. So, a program that only hired people age 40 and older may be lawful, while a program that only hired people age 39 and under may be unlawful.</i>		
g. Disability <i>A selection procedure that singles out a particular disability (e.g., epilepsy) is not facially neutral, even if it does not cover all disabilities.</i>		
h. Genetic information		
3. Uniform and consistent application of sponsor's initial selection methods and criteria		
a. Application forms have been used consistently for all applicants. (29 CFR § 30.10(b)) <i>An example of application forms not being used consistently is where applications from some group(s) – for example, African Americans – are specially marked to indicate that they should be set aside without further review.</i>		
b. The sponsor has applied the same qualification requirements for entry into the program to every applicant.		
c. If the sponsor has utilized testing for entry into the program, it has utilized the same test and standardized scoring mechanisms for all.		
d. If the sponsor has utilized standardized scoring sheets to assess interviewees' performance, the scoring sheets were completed using the same criteria and calculations and were signed or otherwise affirmed to by the individual(s) who conducted the interviews in the same way.		
e. If the sponsor conducted oral interviews but the same individual or team did not interview all the applicants, the sponsor ensured that the same questions were asked at all the interviews and the same scoring criteria and calculations were used for all.		
f. If applicant logs were utilized, they recorded all applicants.		
g. Application forms and oral interviews have not contained questions that are discriminatory <i>on their face</i> . <i>Record any facially discriminatory question(s) here:</i> _____		

4. Uniform and consistent application of sponsor's methods and criteria for selecting apprentices <i>as they progress through and complete</i> the program (29 CFR § 30.10(b)(2))		
a. The sponsor has applied the same requirements for qualification for progression, award of interim credentials, and completion to every apprentice.		
b. If the sponsor has utilized testing for progression to any level, for the award of interim credentials, or for completion of the program, it has utilized the same tests and standardized scoring mechanisms for all.		
c. If the sponsor has utilized standardized scoring sheets to assess apprentices' performance, the scoring sheets were completed using the same criteria and calculations and were signed or otherwise affirmed to by the individual(s) who conducted the interviews in the same way.		
d. If the sponsor conducted oral assessments of performance but the same individual or team did not assess all the apprentices, the sponsor ensured that the same questions were asked at all the assessments and the same scoring criteria and calculations were used for all.		