

**To:** Indiana's Workforce System

**From:** Indiana Department of Workforce Development (DWD)

**Date:** April 3, 2023

**Subject:** DWD Policy 2022-09, Change 1  
United States Department of Labor (DOL) Apprenticeship Grants

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## Purpose

To provide local workforce development boards (within this guidance, referred to as local WDBs or local areas) and other stakeholders an overview of grant requirements and basic grantee responsibilities for DOL Apprenticeship Grants.

This guidance is designed to provide high-level, general information that is applicable to all DOL Apprenticeship Grants. Additional technical assistance may be issued to provide guidance on requirements specific to a new grant or modifications to an existing grant. Additional guidance may include, but is not limited to, new or additional application instructions, implementation requirements, performance milestones, or other information specific to the new or modified Apprenticeship Grant.

## Change 1 Summary

This policy and its complementary technical assistance document are being updated to reflect a change in the Indiana Career Connect System (ICC). Prior to this change, ICC's code for Related Technical Instruction stated: "Occupational Skills Training-ITA Approved Provider." Because Related Technical Instruction for Registered Apprenticeships is not required to be funded through an Individual Training Account (ITA), this ICC code no longer includes the reference to the ITA and instead states "Occupational Skills Training- Approved Provider." As a reminder, the term "Individual Training Account" is specific to the Workforce Innovation and Opportunity Act (WIOA). As such, the language affiliating RTI providers with Individual Training Accounts under the "Use of Funds" section of this policy has been removed.

## References

- 2 CFR Parts 200 and 2900 *Uniform Guidance*
- 29 CFR Part 29 Subpart A *Registered Apprenticeship Programs*
- 20 CFR 680 *Adult and Dislocated Worker Activities Under Title I of the Workforce Innovation and Opportunity Act*
- TEGL 08-19 *Workforce Innovation and Opportunity Act (WIOA) Title I Training Provider Eligibility and State List of Eligible Training Providers (ETPs) and Programs*
- TEGL 13-16 *Guidance on Registered Apprenticeship Provisions and Opportunities in WIOA*
- TEGL 17-18 *Availability of Program Year 18 Funding State Apprenticeship Expansion*
- TEGL 23-19, Change 1 *Guidance for Validating Required Performance Data Submitted by Grant Recipients of U.S. Department of Labor (DOL) Workforce Programs, Attachment II Source Documentation for WIOA Core/Non-Core Programs*
- DWD Technical Assistance 2022-10, Change 1 *Indiana Career Connect Data Entry for DOL Apprenticeship Grants*

## Definitions

**Intermediary:**<sup>1</sup> An organization with the capacity, expertise, and network to help businesses successfully create, launch, and expand apprenticeship programs.

**Structured On-the-Job Learning (OJL):**<sup>2</sup> This paid training includes a structured process to ensure apprentices obtain the skills and knowledge they must learn over the course of the program to be fully proficient in the occupation. The term of apprenticeship for an individual apprentice may be measured through the completion of at least 2,000 hours of the industry standard for on-the-job learning (time-based approach), the attainment of competency (competency-based approach), or a blend of the time-based and competency-based approaches (hybrid approach).

**Registered Apprenticeship Program Sponsor:**<sup>3</sup> Any employer, association, committee, or organization that operates a Registered Apprenticeship Program (RAP). This entity assumes the full responsibility for administration and operation of the program. Sponsors design and execute apprenticeship programs, provide jobs to apprentices, oversee training development, and provide hands-on learning and technical instruction for apprentices.

**Related Technical Instruction (RTI):**<sup>4</sup> An organized and systematic form of instruction designed to provide the apprentice with the knowledge of the theoretical and technical subjects related to the apprentice's occupation. Such instruction may be given in a classroom, through occupational or industrial courses, or by correspondence courses of equivalent value, electronic media, or other forms of self-study approved by the Office of Apprenticeship.

**Supportive Services:**<sup>5</sup> Services provided to participants when it is necessary to enable an individual to successfully participate in a program such as a Registered Apprenticeship. Supportive services may include, but are not limited to, the following:

- (a) Linkages to community services;<sup>6</sup>
- (b) Assistance with transportation;<sup>7</sup>
- (c) Assistance with childcare and dependent care;
- (d) Assistance with housing;
- (e) Needs-related payments;
- (f) Assistance with educational testing;
- (g) Reasonable accommodations for individuals with disabilities;
- (h) Assistance with uniforms or other appropriate work attire and work-related tools, including such items such as work boots, eyeglasses, protective eye gear, and other personal protective equipment;
- (i) Assistance with books, fees, school supplies, and other necessary items, such as electronic devices,<sup>8</sup> for students enrolled in postsecondary education classes; and
- (j) Payments and fees for employment and training-related applications, tests, and certifications.

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<sup>1</sup> <https://www.apprenticeship.gov/partner-finder>.

<sup>2</sup> 29 CFR 29.5(b)(2).

<sup>3</sup> <https://www.apprenticeship.gov/help/what-apprenticeship-program-sponsor>.

<sup>4</sup> <https://www.apprenticeship.gov/sites/default/files/apprenticeship-requirements-reference-guide.pdf>.

<sup>5</sup> 20 CFR 680.900.

<sup>6</sup> Referrals to other programs would be facilitated through Wagner-Peyser.

<sup>7</sup> Examples of transportation assistance include mileage reimbursement, bus pass purchases, or vehicle registration fees.

<sup>8</sup> Examples of electronic devices include computers, laptops, tablets, phones, and portable Wi-Fi if needed.

## Content

DWD is a grant recipient under various DOL-administered Apprenticeship awards and may sub-award funds to local WDBs and other entities to carry out program activities. DWD's Office of Work-Based Learning and Apprenticeship (OWBLA) manages these grants to support statewide apprenticeship accessibility and expansion efforts. Funds are used to develop and implement a variety of strategies to increase the number of apprentices in RAPs; increase the diversity and accessibility of apprenticeship participants; expand apprenticeship opportunities in new industries; and increase capacity to support the development and oversight of apprenticeship programs statewide.

### *DWD Apprenticeship Grant Goals*

DWD has identified four (4) main grant goals generally applicable to all Apprenticeship Grants:

- Expand Indiana's DOL Approved RAPs within the six key industry sectors: Health & Life Sciences; Building & Construction; Advanced Manufacturing; IT & Business Services; Transportation & Logistics; and Agriculture;
- Diversify RAP design and the industries that utilize registered apprenticeship and increase access to, and completion of, RAPs for underrepresented populations and underserved communities;
- Expansion of a statewide pre-apprenticeship framework that includes participation by all partners;<sup>9</sup> and
- Improve upon data collection, data sharing, system change, and community of practice.

### *Use of Funds*

#### **Participants**

Local areas and stakeholders must ensure participants meet grant eligibility requirements prior to expending grant funds. Local boards must have processes for the provision of apprenticeship-funded services to eligible participants.

#### **Providers**

When USDOL Apprenticeship Grants are distributed to the WDBs by DWD, local boards may then distribute these funds to approved providers of OJL, RTI, and/or supportive services. Local boards must ensure providers meet the following guidelines:

- a) **OJL.** Local boards may use Apprenticeship Grant funding to support the OJL component of a RAP with sponsors or participating employers in an approved RAP program. The amount of funding available per apprentice is dependent on the specific grant award and parameters.
- b) **RTI.** RTI providers receiving USDOL Apprenticeship Grants are entities that provide a program of training services on the ETPL. A summary of this process is provided below:<sup>10</sup>

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<sup>9</sup> Partners include, but are not limited to, local WDBs, community organizations, and training providers.

<sup>10</sup> DWD's *INTraining and Eligible Training Provider Lists (ETPL) Eligibility and Establishment Under the Workforce Innovation and Opportunity Act (WIOA) Title I* policy.

- a. **RAPS and ETPL.** Registered Apprenticeship programs will be included on the ETPL (INTraining) through a minimally burdensome process once the program sponsor opts in and has provided the following information to DWD:<sup>11</sup>
  - i. Occupations included within the RAP;
  - ii. The name and address of the RAP sponsor;
  - iii. The name and address of the RTI provider, and the location of instruction if different than the program sponsor's address;
  - iv. The method and length of instruction; and
  - v. The number of active apprentices.
- b. Once the apprenticeship sponsor has provided DWD with the above information, their program will be automatically approved and listed on the ETPL (INTraining) system.<sup>12</sup>

### **Grant Participant Eligibility**

Individuals must meet the following eligibility criteria to participate in a DOL RAP and an Apprenticeship Grant:

- Legally entitled to work in the United States;<sup>13</sup>
- Age 16 or older; and
- Begin participation in a DOL approved RAP during the grant's period of performance.

***NOTE: Veterans and eligible spouses must receive priority of service for all DOL funded job training programs.<sup>14</sup> Veterans must meet each program's eligibility criteria to receive services under the respective employment and training program.***

### **Grant Participant Eligibility Documentation**

States are required to submit individual participant records that include information on demographics, services received, and resulting outcomes. To meet this requirement, verified participant information must be entered into DWD's case management system accurately and timely.<sup>15</sup> Program eligibility must be verified through the collection and maintenance of supporting documentation.<sup>16</sup>

### **Grant Participant 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. However, co-enrolling into other

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<sup>11</sup> 20 CFR 680.470(a).

<sup>12</sup> TEGL 08-19, Change 1.

<sup>13</sup> See **Attachment B** for additional guidance.

<sup>14</sup> DWD's *Priority of Service for Veterans and Eligible Spouses in Indiana Department of Workforce Development's Integrated WorkOne Offices* policy.

<sup>15</sup> See DWD TA 2022-10, Change 1, *Indiana Career Connect Data Entry for DOL Apprenticeship Grants* technical assistance for additional guidance.

<sup>16</sup> See **Attachment C** for a list of acceptable documentation.

grant programs that are appropriate is highly encouraged to provide the full spectrum of services for successful outcomes.<sup>17</sup>

### ***Safeguarding Protected Information Requirements***

All workforce 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 the handling of protected information.<sup>18</sup>

### ***Standards, Program Performance, and Apprenticeship Agreements***

Per 29 CFR § 29.5, 29.6, and 29.7, all registered apprenticeships must abide by the USDOL Standards of Apprenticeship and Program Performance Standards as well as include a properly executed Apprenticeship Agreement. The Standards of Apprenticeship specify necessary provisions such as outlining an apprentice's work processes and ensuring a progressively increasing schedule of wages. The Program Performance Standards provide details on performance evaluation such as ensuring that every RAP must have at least one registered apprentice. Apprenticeship Agreements must be signed by all contracting parties (apprentice, the program sponsor and/or employer, and the parent or guardian of the apprentice if the apprentice is a minor). Additionally, all Apprenticeship Agreements must include ETA Form 671.<sup>19</sup> See **Attachment A** for the full Standards of Apprenticeship, Program Performance Standards, and requirements of Apprenticeship Agreements for easy reference.

### ***DWD Grant Performance Management***

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

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

***Note: Apprenticeship Grants may be non-formula funded and may be subject to any of the requirements and practices specified in DWD's Non-Formula Grant Performance Management policy.***<sup>20</sup>

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.

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<sup>17</sup> DWD's Co-Enrollment and Common Exit policy.

<sup>18</sup> DWD's Safeguarding Protected Information and DWD User Accounts Management policy.

<sup>19</sup> [https://www.dol.gov/sites/dolgov/files/ETA/apprenticeship/pdfs/ETA\\_form\\_671.pdf](https://www.dol.gov/sites/dolgov/files/ETA/apprenticeship/pdfs/ETA_form_671.pdf).

<sup>20</sup> DWD's Non-Formula Grant Performance Management policy.

## Local Area Expectations

### Accountability for Use of Funds

Local areas are responsible for ensuring the validity of OJT, RTI and Supportive Services providers receiving USDOL Apprenticeship Grant funds as well as the Registered Apprenticeship participants who benefit from those funds to avoid questioned or potentially disallowed costs. If local areas identify that apprenticeship programs are not conducted, operated, or administered in accordance with the USDOL Standards of Apprenticeship<sup>21</sup> and/or the apprenticeship agreement (including but not limited to: failure to provide on-the-job learning; failure to provide related instruction; or failure to pay the apprentice a progressively increasing schedule of wages consistent with the apprentices skills acquired), then they should follow the USDOL deregistration protocol outlined in 29 CFR 29.8(b).<sup>22</sup> Because Indiana has an Office of Apprenticeship rather than a State Apprenticeship Agency, the “deregistration agency” mentioned in 29 CFR 29.8(b) would be USDOL.<sup>23</sup>

### Quarterly Progress Reports and Invoices

Local areas must prepare and submit quarterly grant progress reports.<sup>24</sup> Report content will depend on the requirements and guidelines of each unique grant, but will typically include the following:

- Number of expanded RAPs and/or number of new RAPs, within the local workforce development area; and
- Number of participants in both new and expanded programs to include demographics of Apprenticeship Grant participants.

Grant invoicing is to be done on the timeline and through the invoice statement affiliated with the specific Apprenticeship Grant.

### Local-Level Monitoring

Local areas must include Apprenticeship Grants in regular grant 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.

### Business Engagement

Local areas must ensure business services staff are utilizing the CRM to document all grant-related employer engagement, communications, and activities.<sup>25</sup>

## Action

Each local area must ensure their current guidance clearly enables staff to implement the contents of this policy. Applicable staff must be trained to ensure the validity of participant eligibility to avoid questioned or potentially disallowed costs. Local areas must ensure that effective training has taken place and that procedures are consistently being followed.

<sup>21</sup> <https://www.apprenticeship.gov/sites/default/files/apprenticeship-requirements-reference-guide.pdf>.

<sup>22</sup> 29 CFR 29.8(b).

<sup>23</sup> <https://www.apprenticeship.gov/about-us/apprenticeship-system>.

<sup>24</sup> This is a general reporting frequency, but more frequent reporting may be required due to grant requirements, performance concerns, or other conditions.

<sup>25</sup> Additional work-based learning grant functionality is under development for participating employers. DWD/OWBLA will issue additional guidance once the functionality becomes active.

## Attachments

**Attachment A** - Standards of Apprenticeship, Program Performance Standards, and Apprenticeship Agreement Components

**Attachment B** - Eligibility to Work in the United States

**Attachment C** - Apprenticeship Grant Eligibility Documentation

**Attachment D** - DOL Apprenticeship Resources

## Effective Date

Immediately.

## Ending Date

Upon rescission.

## Additional Information

Questions regarding the content of this publication should be directed to [policy@dwd.in.gov](mailto:policy@dwd.in.gov).

## Attachment A

### Standards of Apprenticeship, Program Performance Standards, and Apprenticeship Agreement Components

***Note: These segments of the Code of Federal Regulations are included as a resource for the convenience of those reading this policy and are not an exhaustive list of all apprenticeship regulations. Local areas are encouraged to review all applicable apprenticeship regulations at 29 CFR 29 as well as current TEGs and other federal guidance.***

#### **Standards of Apprenticeship<sup>26</sup>**

An apprenticeship program, to be eligible for approval and registration by a Registration Agency, must conform to the following standards:

- a) The program must have an organized, written plan (program standards) embodying the terms and conditions of employment, training, and supervision of one or more apprentices in an apprenticeable occupation, as defined in this part, and subscribed to by a sponsor who has undertaken to carry out the apprentice training program.
- b) The program standards must contain provisions that address:
  - a. The employment and training of the apprentice in a skilled occupation.
  - b. The term of apprenticeship, which for an individual apprentice may be measured either through the completion of the industry standard for on-the-job learning (at least 2,000 hours) (time-based approach), the attainment of competency (competency-based approach), or a blend of the time-based and competency-based approaches (hybrid approach).
    - i. The time-based approach measures skill acquisition through the individual apprentice's completion of at least 2,000 hours of on-the-job learning as described in a work process schedule.
    - ii. The competency-based approach measures skill acquisition through the individual apprentice's successful demonstration of acquired skills and knowledge, as verified by the program sponsor. Programs utilizing this approach must still require apprentices to complete an on-the-job learning component of Registered Apprenticeship. The program standards must address how on-the-job learning will be integrated into the program, describe competencies, and identify an appropriate means of testing and evaluation for such competencies.
    - iii. The hybrid approach measures the individual apprentice's skill acquisition through a combination of specified minimum number of hours of on-the-job learning and the successful demonstration of competency as described in a work process schedule.
    - iv. The determination of the appropriate approach for the program standards is made by the program sponsor, subject to approval by the Registration Agency of the determination as appropriate to the apprenticeable occupation for which the program standards are registered.
  - c. An outline of the work processes in which the apprentice will receive supervised work experience and training on the job, and the allocation of the approximate amount of time to be spent in each major process.

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<sup>26</sup> 29 CFR 29.5.



- d. Provision for organized, related instruction in technical subjects related to the occupation. A minimum of 144 hours for each year of apprenticeship is recommended. This instruction in technical subjects may be accomplished through media such as classroom, occupational or industry courses, electronic media, or other instruction approved by the Registration Agency. Every apprenticeship instructor must:
  - i. Meet the State Department of Education's requirements for a vocational-technical instructor in the State of registration, or be a subject matter expert, which is an individual, such as a journeyworker, who is recognized within an industry as having expertise in a specific occupation; and
  - ii. Have training in teaching techniques and adult learning styles, which may occur before or after the apprenticeship instructor has started to provide the related technical instruction.
- e. A progressively increasing schedule of wages to be paid to the apprentice consistent with the skill acquired. The entry wage must not be less than the minimum wage prescribed by the Fair Labor Standards Act, where applicable, unless a higher wage is required by other applicable Federal law, State law, respective regulations, or by collective bargaining agreement.
- f. Periodic review and evaluation of the apprentice's performance on the job and in related instruction; and the maintenance of appropriate progress records.
- g. A numeric ratio of apprentices to journeyworkers 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. The ratio language must be specific and clearly described as to its application to the job site, workforce, department or plant.
- h. A probationary period reasonable in relation to the full apprenticeship term, with full credit given for such period toward completion of apprenticeship. The probationary period cannot exceed 25 percent of the length of the program, or 1 year, whichever is shorter.
- i. Adequate and safe equipment and facilities for training and supervision, and safety training for apprentices on the job and in related instruction.
- j. The minimum qualifications required by a sponsor for persons entering the apprenticeship program, with an eligible starting age not less than 16 years.
- k. The placement of an apprentice under a written Apprenticeship Agreement that meets the requirements of § 29.7 or the State apprenticeship law of a recognized Registration Agency. The agreement must directly, or by reference, incorporate the standards of the program as part of the agreement.
- l. The granting of advanced standing or credit for demonstrated competency, acquired experience, training, or skills for all applicants equally, with commensurate wages for any progression step so granted.
- m. The transfer of an apprentice between apprenticeship programs and within an apprenticeship program must be based on agreement between the apprentice and the affected apprenticeship committees or program sponsors, and must comply with the following requirements:
  - i. The transferring apprentice must be provided a transcript of related instruction and on-the-job learning by the committee or program sponsor;
  - ii. Transfer must be to the same occupation; and
  - iii. A new apprenticeship agreement must be executed when the transfer occurs between program sponsors.

- n. Assurance of qualified training personnel and adequate supervision on the job.
- o. Recognition for successful completion of apprenticeship evidenced by an appropriate certificate issued by the Registration Agency.
- p. Program standards that utilize the competency-based or hybrid approach for progression through an apprenticeship and that choose to issue interim credentials must clearly identify the interim credentials, demonstrate how these credentials link to the components of the apprenticeable occupation, and establish the process for assessing an individual apprentice's demonstration of competency associated with the particular interim credential. Further, interim credentials must only be issued for recognized components of an apprenticeable occupation, thereby linking interim credentials specifically to the knowledge, skills, and abilities associated with those components of the apprenticeable occupation.
- q. Identification of the Registration Agency.
- r. Provision for the registration, cancellation and deregistration of the program; and for the prompt submission of any program standard modification or amendment to the Registration Agency for approval.
- s. Provision for registration of apprenticeship agreements, modifications, and amendments; notice to the Registration Agency of persons who have successfully completed apprenticeship programs; and notice of transfers, suspensions, and cancellations of apprenticeship agreements and a statement of the reasons therefore.
- t. Authority for the cancellation of an apprenticeship agreement during the probationary period by either party without stated cause; cancellation during the probationary period will not have an adverse impact on the sponsor's completion rate.
- u. Compliance with 29 CFR part 30, including the equal opportunity pledge prescribed in 29 CFR 30.3(c); an affirmative action program complying with 29 CFR 30.4; and a method for the selection of apprentices complying with 29 CFR 30.10, or compliance with parallel requirements contained in a State plan for equal opportunity in apprenticeship adopted under 29 CFR part 30 and approved by the Department. The apprenticeship standards must also include a statement that the program will be conducted, operated and administered in conformity with applicable provisions of 29 CFR part 30, as amended, or if applicable, an approved State plan for equal opportunity in apprenticeship.
- v. Contact information (name, address, telephone number, and e-mail address if appropriate) for the appropriate individual with authority under the program to receive, process and make disposition of complaints.
- w. Recording and maintenance of all records concerning apprenticeship as may be required by the Office of Apprenticeship or recognized State Apprenticeship Agency and other applicable law.

### **Program Performance Standards<sup>27</sup>**

- a) Every registered apprenticeship program must have at least one registered apprentice, except for the following specified periods of time, which may not exceed 1 year:
  - a. Between the date when a program is registered and the date of registration for its first apprentice(s); or

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<sup>27</sup> 29 CFR 29.6.

- b. Between the date that a program graduates an apprentice and the date of registration for the next apprentice(s) in the program.
- b) Registration Agencies must evaluate performance of registered apprenticeship programs.
  - a. The tools and factors to be used must include, but are not limited to:
    - i. Quality assurance assessments;
    - ii. Equal Employment Opportunity (EEO) Compliance Reviews; and
    - iii. Completion rates.
  - b. Any additional tools and factors used by the Registration Agency in evaluating program performance must adhere to the goals and policies of the Department articulated in this part and in guidance issued by the Office of Apprenticeship.
- c) In order to evaluate completion rates, the Registration Agency must review a program's completion rates in comparison to the national average for completion rates. Based on the review, the Registration Agency must provide technical assistance to programs with completion rates lower than the national average.
- d) Cancellation of apprenticeship agreements during the probationary period will not have an adverse impact on a sponsor's completion rate.

### **Apprenticeship Agreement Components<sup>28</sup>**

The apprenticeship agreement must contain, explicitly or by reference;

- a) Names and signatures of the contracting parties (apprentice, and the program sponsor or employer), and the signature of a parent or guardian if the apprentice is a minor.
- b) The date of birth and, on a voluntary basis, Social Security number of the apprentice.
- c) Contact information of the Program Sponsor and Registration Agency.
- d) A statement of the occupation in which the apprentice is to be trained, and the beginning date and term (duration) of apprenticeship.
- e) A statement showing:
  - a. The number of hours to be spent by the apprentice in work on the job in a time-based program; or a description of the skill sets to be attained by completion of a competency-based program, including the on-the-job learning component; or the minimum number of hours to be spent by the apprentice and a description of the skill sets to be attained by completion of hybrid program; and
  - b. The number of hours to be spent in related instruction in technical subjects related to the occupation, which is recommended to be not less than 144 hours per year.
- f) A statement setting forth a schedule of the work processes in the occupation or industry divisions in which the apprentice is to be trained and the approximate time to be spent at each process.
- g) A statement of the graduated scale of wages to be paid to the apprentice and whether or not the required related instruction is compensated.
- h) Statements providing:
  - a. For a specific period of probation during which the apprenticeship agreement may be cancelled by either party to the agreement upon written notice to the registration agency, without adverse impact on the sponsor.
  - b. That, after the probationary period, the agreement may be:
    - i. Cancelled at the request of the apprentice, or

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<sup>28</sup> 29 CFR 29.7.

- ii. Suspended or cancelled by the sponsor, for good cause, with due notice to the apprentice and a reasonable opportunity for corrective action, and with written notice to the apprentice and to the Registration Agency of the final action taken.
  - iii. A reference incorporating as part of the agreement the standards of the apprenticeship program as they exist on the date of the agreement and as they may be amended during the period of the agreement.
- i) A statement that the apprentice will be accorded equal opportunity in all phases of apprenticeship employment and training, without discrimination because of race, color, religion, national origin, sex, sexual orientation, age (40 or older), genetic information, or disability.
- j) Contact information (name, address, phone, and e-mail if appropriate) of the appropriate authority designated under the program to receive, process and make disposition of controversies or differences arising out of the apprenticeship agreement when the controversies or differences cannot be adjusted locally or resolved in accordance with the established procedure or applicable collective bargaining provisions.
- k) A request for demographic data, including the apprentice's race, sex, and ethnicity, and disability status.

## **Attachment B**

### **Eligibility to Work in the United States**

While citizenship does not need to be validated, individual's eligibility-to-work in the United States (regardless of citizenship) must be validated for all Apprenticeship Grant participants prior to the receipt of supportive services and/or training services.

#### ***Validating Eligibility-to-Work***

- The customer "self-declares" when they enter data into the labor exchange system or when staff enters data into DWD's case management system.
- Eligibility to work in the United States must be validated for any Registered Apprenticeship Program participant who receives any type of supportive service and/or training service.

Local areas must utilize the "Lists of Acceptable Documents" which is provided by U.S. Citizenship and Immigration Services (USCIS) Employment Eligibility Verification Form I-9 to verify the identity and employment authorization of individuals hired for employment in the United States, <http://www.uscis.gov/i-9>. Copies of the participant's acceptable documents must be maintained in the DWD's case management system.

## Attachment C

### Apprenticeship Grant Eligibility Documentation

Eligibility Criteria	Eligibility Definition	Source Documentation
<b>Age</b>	Age 16 or older	<p>If Supportive Services and/or Training services are provided one of the following must be obtained:</p> <ul style="list-style-type: none"> <li>• Driver's License</li> <li>• Baptismal Record</li> <li>• Birth Certificate</li> <li>• DD-214</li> <li>• Report of Transfer or Discharge Paper</li> <li>• Federal, State or Local Identification Card</li> <li>• Passport</li> <li>• Hospital Record of Birth</li> <li>• Public Assistance/Social Service Records</li> <li>• School Records or ID Cards</li> <li>• Work Permit</li> <li>• Family Bible</li> <li>• Cross-Match with State Agency Records</li> <li>• Justice System Records</li> <li>• Selective Service Registration</li> <li>• Signed Letter from a parent or guardian</li> <li>• Medical Records</li> <li>• Self-Attestation (to be used as a last resort only if allowable by the individual grant)</li> </ul> <p>A copy must be saved to the participant's electronic file in DWD's case management system.</p>
<b>U.S. citizen or Otherwise Legally Entitled to Work in the United States</b>	While citizenship does not need to be validated, individual's eligibility-to-work in the United States (regardless of citizenship) must be validated for all Apprenticeship participants prior to the receipt of supportive services and/or training services	<p>Validating Eligibility-to-Work:</p> <ul style="list-style-type: none"> <li>• Eligibility to work in the United States must be validated for any program participant who receives any type of supportive service and/or training service.</li> <li>• See the "Lists of Acceptable Documentation" page of the Employment Eligibility Verification Form I-9.</li> </ul> <p>A copy of valid documentation used for the above verification must be saved to the participant's electronic file.  <a href="http://www.uscis.gov/i-9">http://www.uscis.gov/i-9</a></p>

Eligibility Criteria	Eligibility Definition	Source Documentation
<p><b>Approved DOL Registered Apprenticeship Program</b></p>	<p>Registered Apprenticeship must be an approved program through the Federal Department of Labor</p>	<p>Verification of Approved Program:</p> <ul style="list-style-type: none"> <li>• Copy of Registered Apprenticeship Standards, 671 section I, to include DOL's approval and signature.</li> </ul> <p>A copy of documentation used for above verification must be saved to the participant's electronic file.</p>
<p><b>Actively Participating Apprentice</b></p>	<p>Individual participant understands and agrees to participate in the prescribed DOL Registered Apprenticeship Program</p>	<p>Verification of Individual's Participation:</p> <ul style="list-style-type: none"> <li>• Fully completed and signed Apprentice Agreement form 671 section II</li> </ul> <p>A copy of documentation used for above verification must be saved to the participant's electronic file.</p>

## Attachment D

### DOL Apprenticeship Resources

<p><b>TEGL 23-19</b>, Change 1 - Guidance for Validating Required Performance Data Submitted by Grant Recipients of U.S. Department of Labor (DOL) Workforce Programs, Attachment II Source Documentation for WIOA Core/Non-Core Programs</p>	<p><a href="https://www.dol.gov/agencies/eta/advisories/tegl-23-19-change-1">https://www.dol.gov/agencies/eta/advisories/tegl-23-19-change-1</a></p>	<p>This guidance provides information to grant recipients of the U.S. Department of Labor workforce programs, including states, and provides guidelines for grant recipients to use in developing procedures for ensuring the data submitted for performance reporting are valid and reliable.</p>
<p><b>29 CFR Part 29 Subpart A</b> Registered Apprenticeship Programs</p>	<p><a href="https://www.ecfr.gov/current/title-29/subtitle-A/part-29?toc=1">https://www.ecfr.gov/current/title-29/subtitle-A/part-29?toc=1</a></p>	<p>The purpose of this subpart is to set forth labor standards to safeguard the welfare of apprentices, promote apprenticeship opportunity, and to extend the application of such standards by prescribing policies and procedures concerning the registration, for certain Federal purposes, of acceptable apprenticeship programs with the U.S. Department of Labor, Employment and Training Administration, Office of Apprenticeship.</p>
<p><b>TEGL 13-16</b> - Guidance on Registered Apprenticeship Provisions and Opportunities in WIOA</p>	<p><a href="https://www.dol.gov/agencies/eta/advisories/training-and-employment-guidance-letter-no-13-16">https://www.dol.gov/agencies/eta/advisories/training-and-employment-guidance-letter-no-13-16</a></p>	<p>The purpose of this guidance is to provide information about the new provisions for RA in WIOA, including the status of RA sponsors as Eligible Training Providers, membership on State and Local Workforce Boards, the use of WIOA funding to support RA, reporting on RA activity, and suggestions about how to coordinate with the RA system.</p>
<p><b>2 CFR 200</b> – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards</p>	<p><a href="https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200?toc=1">https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200?toc=1</a></p>	<p>Also known as the Uniform Guidance (UG), this is the consolidation of grant management requirements formerly contained in several OMB circulars. The Uniform Guidance encapsulates Federal grant management requirements governing administrative requirements, cost principles, and audit requirements. All grantee personnel should be familiar with the Uniform Guidance.</p>
<p><b>2 CFR 2900</b> – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards</p>	<p><a href="https://www.govinfo.gov/app/details/CFR-2016-title2-vol1/CFR-2016-title2-vol1-part2900/context">https://www.govinfo.gov/app/details/CFR-2016-title2-vol1/CFR-2016-title2-vol1-part2900/context</a></p>	<p>The Department of Labor's adoption of the Uniform Guidance includes a limited number of exceptions approved by OMB to ensure consistency with existing policy and procedures. Where present, the DOL exceptions take precedence over the general UG. Note, that if the prime grantee elects to utilize sub-awards all UG requirements applicable to the prime grantee apply in addition to any others applicable to the sub-award.</p>