



## Apprenticeship Program Review (APR) Checklist

The Minnesota Department of Labor and Industry (DLI) conducts program reviews to assess the overall condition of a sponsor’s program and compliance with registered standards and the relevant regulations at 29 CFR part 29, and part 30, and Minnesota Statutes §178 and Minnesota Rules 5200.0320. As a State Apprenticeship Agency (SAA), DLI conducts Apprenticeship Program Reviews (APRs) for all Registered Apprenticeship Programs (RAP) in Minnesota which includes an assessment of all aspects of a RAP’s performance.

### CHECKLIST 1: IDENTIFICATION INFORMATION

Region:

State:

Program Name:

Program Number:

Sponsor Contact Name/Address:

Date Program Registered:

Date of this Review:

### Review Type

PAPER Provisional Annual Program Review

APR Annual Program Review

EAPR Extended Annual Program Review

**Review Occurred**    Remote    On-site Review

### Type and Size of Program

Single Employer

Single Employer with a CBA

Multi-Employer

Multi-Employer with a CBA

Corrective Letter Date:

Follow-Up Date:

Corrected Date:

## CHECKLIST 2: PRIOR DEFICIENCIES AND CORRECTIONS

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 Step(s) <i>Select: Not started/ In process/ Completed</i>	Recurring Deficiencies, if applicable <i>Select: Yes/No  [If yes, also record in current E/APR Tool.]</i>

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

### Substance of OJL

1. The sponsor has coordinated OJL with the related instruction provided. (29 CFR § 29.4(d)) & [Minn. Stat. §178.036, subd. 4](#)  Yes  No
2. The sponsor has included at least 50 hours of safety training as part of OJL. (29 CFR § 29.5(b)(9)) [Minn. Stat. §178.036, subd. 3](#)  Yes  No

### Uniform provision of on-the-job work experience and training

3. Apprentices received supervised work experience and training on the job, 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)) [Minn. Stat. §178.036, subd. 5](#)  Yes  No
4. 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)) [Minn. Stat. §178.036, subd. 5](#)  Yes  No

5. 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)) [Minn. Stat. §178.036, subd. 5](#)  
 Yes  No

*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.*

Occupation	Ratio in Standards	Actual Ratio	Explanation

6. The program sponsor has periodically reviewed and evaluated apprentice performance on-the-job and in related instruction. (29 CFR § 29.5(b)(6)) [Minn. Stat. §178.036, subd. 12](#)  Yes  No

### Apprentices’ scheduled wage increases

*Wage increases may be awarded to the apprentice consistent with the skill acquired.*

(29 CFR § 29.5(b)(5)) [Minn. Stat. §178.036, subd. 6](#)

7. Scheduled wage increases made consistently  Yes  No
8. Scheduled wage increases made in accordance with the registered apprenticeship Standards.  
 Yes  No

### Probationary period

(29 FR § 29.5(b)(8)) [Minn. Stat. §178.036, subd. 7](#)

9. The probationary period does not exceed 25% of the length of the program, or one year, whichever is shorter.  Yes  No
10. The sponsor has uniformly given full credit for the probationary period toward the completion of apprenticeship.  Yes  No

### Credit for Previous Experience`

11. 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)) [Minn. R. 5200.0320](#)  Yes  No

## CHECKLIST 4: RELATED INSTRUCTION

### Substance of OJL

1. The related instruction follows the curriculum/outline that is defined in the program standards.  
 Yes  No
2. The sponsor has included safety training as part of OJL. (29 CFR § 29.5(b)(9)) [Minn. Stat. §178.036, subd. 3](#)  Yes  No

### Method(s) of related instruction

3. 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)) [Minn. Stat. §176.011, subd. 11](#)
4. Related instruction provided via the method specified in the program standards (i.e., classroom, on-line, correspondence, etc.). (29 CFR § 29.5(b)(4)) [Minn. Stat. §176.036, subd. 3](#)  Yes  No

### Actual provision of related instruction

(29 CFR § 29.5(b)(4)) Minn. Stat. §176.036, subd. 3)

5. Hours of related instruction provided are in accordance with the standards. See table below.

Related Instruction Length Defined in Standards	Occupation	Related Instruction Length

6. Related instruction as approved in the sponsor's standards provided consistently. (29 CFR § 29.5(b)(4))  
 Yes  No
7. Apprentices have been attending regularly and as prescribed.  Yes  No

### Progress Evaluations

8. The program sponsor periodically reviewed and evaluated apprentices' performance on the job and in related instruction. (29 CFR § 29.5(b)(6)) [Minn. Stat. §178.036, subd. 12](#)  Yes  No

## Requirements regarding instructors

9. Every apprenticeship instructor either meets the Minnesota 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)) [Minn. Stat. §178.036, subd. 3](#)  Yes  No
10. 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))
- Yes  No

*When providing technical assistance about the required training technique and adult learning styles training, refer to the extensive resource training information on OA’s website: [https://www.apprenticeship.gov/eo/sponsors/ Training Techniques and Adult Learning Styles and/or Atlasabe](https://www.apprenticeship.gov/eo/sponsors/TrainingTechniquesandAdultLearningStylesand/orAtlasabe)*

## CHECKLIST 5: PROGRAM OPERATION – 29 CFR PART 29, SUBPART A

### Record keeping and updating

1. 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)) [Minn. R. 5200.0420, subp. 2](#)
- Yes  No

*Describe the nature of and reasons for any significant disparities below.*

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2. 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) [Minn. R. 5200.0420, subp. 3](#)
- Yes  No

*If no, list the records that were not maintained:*

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3. The standards that the sponsor is following in the program are substantively the same as the standards on file with the Minnesota Department of Labor and Industry Apprenticeship Division. (29 CFR § 29.3(i)) [Minn. R. 5200.0420, subp. 3](#)
- Yes  No

*If no, record any substantive differences:*

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## Responsible staff

4. There has been an individual with the authority to receive, process, and make disposition of complaints. (29 CFR §§ 29.5(b)(22), 29.7(k))

*Confirm that this contact as entered in RAPIDS is the person currently designated for this role.*

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: \_\_\_\_\_

5. The sponsor has procedures in place to ensure that there is a designated responsible individual who can take over the role as soon as possible when a vacancy occurs.

*If the response is no, note corrective action and/or provide TA for addressing this situation.*

## Completion Rates

(29 CFR § 29.6(c))

6. Calculation of completion rates and comparison to national average

Occupation/FY	Sponsor's Completion Rate (%)	Previous FY's National Average Completion Rate (%)

7. 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):

\_\_\_\_\_

Provide TA to assist the sponsor with raising its completion rate(s).

### Cancellation Rates

Occupation/FY	Sponsor's Cancellation Rate (%)	Previous FY's National Average Cancellation Rate (%)

### Retention Rates

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

## CHECKLIST 6: PROGRAM OPERATION – 29 CFR PART 30, SUBPART B

### Individual with EEO responsibility (29 CFR § 30.3(b)(1))

1. 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.  Yes  No
  
2. 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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3. 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.  Yes  No  
*If the response is no, note corrective action and/or provide TA for addressing this situation.*

## Complaints about harassment

4. The sponsor has specific procedures for handling complaints about harassment, intimidation, and retaliation. (29 CFR § 30.3(b)(4)(iii)) [Minn. Stat. §178.035, subd. 7](#) [ ] Yes [ ] No
5. 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))
6. Anti-harassment training has been provided to all apprentices. [ ] Yes [ ] No

*Record how the sponsor has verified that the apprentices completed it.*

7. 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. [ ] Yes [ ] No  
*Record how the sponsor has verified that these personnel completed it.*
8. The format of the provided training involved participation by trainees, such as attending the training in person or completing interactive training online. [ ] Yes [ ] No
9. 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. Confirm that the training contained all the required information whether it was provided by the sponsor, a participating employer, or a third party. 29 CFR § 30.3(b)(4)(i) 29 CFR § 30.3(b)(4)(i) [ ] Yes [ ] No

## Equal Opportunity Pledge and EEO Complaints Information Notice

10. 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)) [Minn. Stat. §178.035, subd. 7](#) [ ] Yes [ ] No

*Record the location(s) where the Pledge and Notice are posted:*

11. The sponsor published the EEO Pledge in company handbooks, manuals, and similar documents. (29 CFR § 30.3(b)(2)(i)) [Minn. Stat. §178.035, subd 7](#) [ ] Yes [ ] No
12. 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)) [Minn. Stat. §178.035, subd 7](#) [ ] Yes [ ] No
13. 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)) [Minn. Stat. §178.035, subd. 7](#) [ ] Yes [ ] No  
Section II of Form 671 embodies the Apprenticeship Agreements



14. The EEO Complaints Information Notice has been included in all applications for openings in the program. (29 CFR § 30.14(b)) [Minn. Stat. §178.035, subd. 7](#) [  ] Yes [  ] No
15. 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). [Minn. Stat. §178.035, subd. 7](#) [  ] Yes [  ] No

## Information Sessions about EEO

16. 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)) [Minn. Stat. §178.035, subd 7](#) [  ] Yes [  ] No

## Universal outreach

17. 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)) [  ] Yes [  ] No

*If the sponsor has not developed its universal recruitment-source list, or needs to update it, refer them to [DLI Recruitment and outreach resource lists](#).*

18. The sponsor's definition of its recruitment area(s) reflects all the geographic areas from which it usually seeks or reasonably could seek apprentices. [  ] Yes [  ] No
19. Since creating its list of recruitment sources, the sponsor has updated it annually. (29 CFR § 30.3(b)(3)(i)) [  ] Yes [  ] No

## Provision of advanced notice of openings to recruitment sources

20. *[For sponsors with discrete enrollment/application periods]* 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)) [  ] Yes [  ] No
21. *[For sponsors with continuous enrollment periods ("open enrollment")]* The sponsor has sent its position postings to its recruitment sources regularly, as well as whenever there was any change to the posting.

## Reasonable Accommodations

22. 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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The sponsor is required to keep these requests and its responses to them on file. (29 CFR 30.12(a)(5))

## External Findings or Allegations of Unlawful Discrimination

23. 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.  Yes  No

*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.*

*If the response is yes, complete items 23 and 24.*

24. 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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25. Indicate the status of those findings or allegations and how they have been or are being addressed:
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## CHECKLIST 7: SELECTION PROCEDURES

### Conformance with Standards

1. The selection procedures that the sponsor has used for *admission* to its program match the written description in its standards.  Yes  No
2. The selection procedures that the sponsor has used for *progression through and completion* of its program, including the award of interim credentials, match the written description in its Standards.  Yes  No

### Facial neutrality

3. All selection procedures, including selection criteria, that the sponsor has used have been *facially neutral* (29 CFR § 30.10(b)(4)) in terms of:

a. Race and color <input type="checkbox"/> Yes <input type="checkbox"/> No
b. National origin <input type="checkbox"/> Yes <input type="checkbox"/> No

<p>c. Religion <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <ul style="list-style-type: none"> <li>• <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></li> </ul>
<p>d. Sex <input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>e. Sexual orientation <input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>f. Age (40 and older) <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <ul style="list-style-type: none"> <li>• <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></li> </ul>
<p>g. Disability <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <ul style="list-style-type: none"> <li>• <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></li> </ul>
<p>h. Genetic information <input type="checkbox"/> Yes <input type="checkbox"/> No</p>

## Uniform and consistent application of sponsor's *initial* selection methods and criteria

- Application forms have been used consistently for all applicants.  Yes  No  
**29 CFR § 30.10(b)**  
*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.*
- The sponsor has applied the same qualification requirements for entry into the program to every applicant.  Yes  No
- If the sponsor has utilized testing for entry into the program, it has utilized the same test and standardized scoring mechanisms for all.  Yes  No
- 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.  Yes  No
- 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.  Yes  No
- If applicant logs were utilized, they recorded all applicants.  Yes  No
- Application forms and oral interviews have not contained questions that are discriminatory on their face.  Yes  No

## **Uniform and consistent application of sponsor's methods and criteria for selecting apprentices *as they progress through and complete the program***

### **29 CFR § 30.10(b)(2)**

11. The sponsor has applied the same requirements for qualification for progression, award of interim credentials, and completion to every apprentice.  **Yes**  **No**
  
12. 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.  **Yes**  **No**
  
13. 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.  **Yes**  **No**
  
14. 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.  **Yes**  **No**

## **Questions?**

Contact us at [dli.apprenticeship@state.mn.us](mailto:dli.apprenticeship@state.mn.us) or 651-284-5090.