

SOP 23-03 Change 2
Apprenticeship Grants
Standard Operating Procedures
Grow Southwest Indiana Region 11
WDB Approval Date: 05-19-2023
Revision Date: 4/20/2026

Purpose

SOP 23-03 Change 2 provides local workforce development boards and other stakeholders a high-level general information overview of grant requirements and grantee responsibilities for DOL Apprenticeship Grants.

Additional technical assistance may be issued for requirements specific to a new grant or modification to an existing grant that 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 2 Summary

This policy has been updated with the following changes:

- **Attachment C** – Apprenticeship Grant Eligibility Documentation has been updated to align with the work authorization guidance (OAB 2023-42).
- The Wagner-Peyser co-enrollment requirement was removed.
- Addition of requirement for all participants to be fully enrolled into the “Apprenticeship Grant Program” (APR) in Indiana Career Connect (ICC).

Rescission

DWD Policy 2022-9 Change 1 United States Department of Labor (DOL) *Apprenticeship Grants* Region 11 SOP 23-03 *Apprenticeship Grants*

References

- 2 CFR Parts 200 and 2900 *Uniform Guidance*
- 29 CFR Part 29 Subpart A *Registered Apprenticeship Programs*
- 29 CFR Part 30 *Equal Employment Opportunity in Apprenticeship*
- 20 CFR 680 *Adult and Dislocated Worker Activities Under Title I of the Workforce*

Innovation and Opportunity Act

- *TEGL 08-19 and TEGL 08-10 Workforce Innovation and Opportunity (WIOA) Title I Training Provider Eligibility and State List of Eligible Training Providers (ETPs) and Programs*
- *TEGL 13-16 and TEGL 13-16 Change 1 Guidance on Registered Apprenticeship Provision and Opportunities in WIOA*
- *TEFL 17-18 Availability of Program Year 18 Funding State Apprenticeship Expansion*
- *TEFL 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*
- *Office of Apprenticeship Bulletin (OAB) 2023-42 Registered Apprentice Eligibility with Respect to United States (U.S.) Citizenship*
- *APPRENTICESHIPUSA, Partner Finder*
- *APPRENTICESHIPUSA, Program Sponsor*
- *APPRENTICESHIPUSA, Apprenticeship System*
- *USDOL, ETA Form 671, Program Registration and Apprenticeship Agreement*
- *DWD TA 2022-10, Change 2 Indiana Career Connect Data Entry for DOL Apprenticeship Grants*
- *DWD Policy 2022-06 Non-Formula Grant Performance Management*
- *DWD Policy 2021-08 Change 1 Co-enrollment and Common Exit*
- *DWD Policy 2021-10 Change 3 Safeguarding Protected Information and DWD User Accounts Management*
- *DWD Policy 2015-08 Priority of Service for Veterans and Eligible Spouses in Indiana Department of Workforce Development's Integrated WorkOne Offices*
- *DWD Policy 202-16 Change 3 INTraining and Eligible Training Provider Lists (ETPL) Eligibility and Establishment Under the Workforce Innovation and Opportunity Act (WIOA) Title I*
- *DWD Technical Assistance 2025-05 Department of Workforce Development Certified Pre-Apprenticeship Programs*

Definitions

Intermediary: An organization with the capacity, expertise, and network to help businesses successfully create, launch, and expand apprenticeship programs

Structured On-the-Job Learning (OJL): Paid training that includes a structure 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. Terms of apprenticeship for an individual apprentice may be measured in three ways:

1. Completion of at least 2,000 hours of the industry standard for on-the-job learning (time-based approach)
2. Attainment of competency (competency-based approach), or
3. Blend of the time-based and competency-based approach (hybrid) approach

Registered Apprenticeship Program Sponsor: Any employer, association, committee, or organization that operates a Registered Apprenticeship Program (RAP), assumes the full responsibility for administration and operation of the program, designs and executes the apprenticeship programs, provides jobs to apprentices, oversees training development, and provides hands-on learning and technical instruction for apprentices.

Related Technical Instruction (RTI): 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 in a classroom setting, through occupational or industrial courses, or by correspondence courses of equivalent value, electronic media, or other form of self-study approved by the Office of Apprenticeship.

Supportive Services: Services provided to participants when it is necessary that enable an individual to successfully participate in a program such as a Registered Apprenticeship including, but not limited to,

- a) Linkages to community services
- b) Assistance with transportation (mileage reimbursement, bus pass purchases, or vehicle registration fees)
- c) Assistance with childcare and dependent care
- d) Assistance with housing
- e) Need-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 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 for students enrolled in postsecondary education classes, and
- j) Payments and fees for employment and training-related applications, tests, and certifications.

Content

As a grant recipient under DOL-administered Apprenticeship awards, DWD may sub-award funds to local WDBs and other entities to carry out program activities. DWD Work-Based Learning and Apprenticeship (DWD WBLA) manages these grants to support statewide apprenticeship accessibility and expansion efforts. Funds are used to:

- Increase the number of apprenticeships 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

Region 11 acknowledges the four (4) main goals that DWD has identified that are generally applicable to all Apprenticeship Grants.

1. Expand Indiana's DOL Approved RAPs within the six key industry sectors:
 - Health and Life Sciences
 - Building and Construction
 - Advanced Manufacturing
 - IT and Business Services
 - Transportation, Logistics, and
 - Agriculture
2. Diversify RAP design and the industries that utilize registered apprenticeship and increase access to and completion of RAPs for underrepresented populations and underserved communities.
3. Expand a statewide pre-apprenticeship framework that includes participation by all partners that may include, but are not limited to, local WDBs, community organizations, and training providers.
4. Improve upon data collection, data sharing, system change, and community of practice.

Use of Funds

Participants

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

Providers

The local Board will distribute funds to approved providers of OJL, RTI, and/or supportive services. The local Board will ensure providers meet the following guidelines:

OJL-

- Apprenticeship Grant funds may be used to support the OJL component of a RAP with sponsors or participating employers in an approved RAP program.
- Amount of funding for each apprenticeship depends on the specific grant award and parameters.

RTI-

- RTI providers that receive USDOL Apprenticeships Grants provide a program of training services on the ETPL.
- RAPs will be included on the ETPL list once the program sponsor opts in and has provided the following information to DWD:
 - Occupations included within the RAP
 - The name and address of the RAP sponsor
 - The name and address of the RTI provider and the location of instruction if different

- from the Program sponsor's address
- The method and length of instruction
- The number of active apprentices
- Once the above information is provided to DWD, the program will automatically approved and listed on the ETPL.

Grant Participant Eligibility

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

- Authorized to work in the United States (see Attachment B)
- Age 16 or older
- Begin participation in a DOL approved RAP during the grant's period of performance (POP)

NOTE: Veterans and eligible spouses must receive priority of service for all DOL funded job training programs. Veterans must meet each program's eligibility criteria to receive services under the respective employment and training program. (See *SOP 16-10 Priority of Service for Veterans and Eligible Spouses*).

Grant Participant Eligibility Documentation

- Since states are required to submit individual participant records that include information on demographics, services provided, and resulting outcomes, verified participant information must be entered into DWD's case management system accurately and timely. (See ICC Data entry for DOL Apprenticeship Technical Assistance).
- Verification of program eligibility must be supported by collection and maintenance of supporting documentation (see Attachment C).

Grant Participation Co-Enrollment

- To meet all data elements of reporting, participants are required to be fully enrolled into the "Apprenticeship Grant Program" (APR) in ICC.
- To provide beneficial services and support outcomes, co-enrolling in other appropriated programs is highly encouraged.

Safeguarding Protected Information Requirements

All workforce staff will 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 (see *SOP 22-02 Safeguarding Protected Information and DWD User Accounts*).

Standards, Program Performance, and Apprenticeship Agreements

All registered apprenticeships will abide by the USDOL Standards of Apprenticeship including:

- Outlining work processes for the apprentice
- Ensuring an increasing schedule of wages
- Program performance standards that detail performance evaluation, i.e., ensuring that every RAP has at least one registered apprenticeship

Apprenticeship agreements must:

- Be signed by all parties including:
 - Apprentice
 - Program sponsor and/or employer
 - Parent or guardian of the apprentice (if the apprentice is a minor)
- Include Form 671

(See Attachment A)

DWD Grant Performance Management

Apprenticeship Grant performance is managed by the DWD OWBLA. Outcomes will be:

- Reviewed at least quarterly
- Compared to established milestones to ensure timely data entry and reported activities and outcomes are accurately supported with source documentation

OWBLA's performance management process may include, but is not limited to a review of the following:

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

NOTE: Apprenticeship Grants may be non-formula funded and may be subject to any of the requirement and practices specified in DWD's Non-Formula Grant Performance management policy. (See *SOP 22-07 Non-Formula Grant Performance Management*).

Grant management, performance protocols, and 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.

Local Area Expectations

Local areas are responsible for ensuring the validity of OJL, RTI, and Supportive Services providers receiving USDOL Apprenticeship Grant funds as well as the Registered Apprenticeship participants who benefit 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 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 the local area will follow the USDOL deregistration protocol outlined in 29 CFR 29.8(b). Since Indiana has an Office of Apprenticeship rather than a State Apprenticeship Agency, the “deregistration agency” would be USDOL.

Quarterly Progress Reports and Invoices

Local areas must prepare and submit quarterly grant progress reports. This is a general frequency, but more frequent reporting may be required due to grant requirements, performance concerns, or other concerns. Depending on requirements and guidelines of each unique grant, report content may vary. Report content will typically include:

- Number of expanded RAPs and/or number of new RAPs, within the local workforce development area
- 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

The local area and other subrecipients will 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
- data entry and documentation requirements are being followed.

Business engagement

- Local areas will ensure business services staff are utilizing the CRM to document all grant-related employer engagement, communications, and activities.

ACTION

- Region 11 will ensure that current guidance enables staff to implement the contents of this policy.
- Staff will be trained to ensure the validity of participant eligibility to avoid questioned or potentially disallowed costs.

- Effective training will be conducted.
- Region 11 will ensure that procedures are consistently being followed.

Attachments

Attachment A – Standards of Apprenticeship, Program performance Standards, and
Apprenticeship Agreement Components

Attachment C – Apprenticeship Grant Eligibility Documentation

Effective Date

Immediately

Ending Date

Upon rescission

Attachment A

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

NOTE: These segments of the Code of Federal Regulation are included as a resource and are not an exhaustive list of all apprenticeship regulations.

Standards of Apprenticeship

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 for at least 2000 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 measure 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 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.
 - 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 apprenticeship's performance on the job and in related instruction, and the maintenance of appropriate progress records.
- g. A numeric ratio of apprentices to journey workers 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 collectively 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 2 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 person entering the apprenticeship program, with an eligible stating age not less than 16 years.
- k. The placement of an apprentice under a written Apprenticeship Agreement that meets the requirements of 29 CFR 29.7 or the State apprenticeship law of a recognized Registration Agency. The agreement must directly, or by reference, incorporated 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 apprenticeship 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 apprenticeship 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 credential 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, 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 20 CFR 30.3c, 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 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 provision 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 email 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

- 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

- b. Between the date that 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
 - 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. 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

The apprenticeship agreement must contain, explicitly or by reference:

- A. Names and signature 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, 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 skills 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 skills set 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
 - 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, notional 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 difference arising out of the apprenticeship agreement when the controversies or difference 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, ethnicity, and disability status.

Attachment C Apprenticeship Grant Eligibility Documentation

Eligibility Criteria	Eligibility Definition	Source Documentation
Age	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"> -Driver's License -Baptismal Record -Birth Certificate -DD-214 -Report of Transfer or Discharge Paper -Federal, State, or Local Identification Card -Passport -Hospital Record of Birth -Public Assistance/Social Security Records -School records or ID Cards -Work Permit -Family Bible -Cross-Match with State Agency Records -Justice System Records -Selective Service Registration -Signed Letter from a parent or guardian -Medical Records -Self-Attestation (to be used as a last resort only if allowable by the individual grant) <p>A copy must be saved to the participant's electronic file in DWD's case management system.</p>
Authorized to Work in the United States	Work authorization	<ul style="list-style-type: none"> • The USCIS Form 1-9 provides a list of acceptable documents that can be used to verify an individual's authorization to work in the United States. • NOTE: the form does not need to be completed • A copy of valid documentation used for the above verification must be saved to the participant's electronic file. <p>http://www.uscis.gov/1-9</p>
Approved	Registered Apprenticeship	Verification of Approved Program:

<p>DOL Registered Apprenticeship Program</p>	<p>must be an approved program through the Federal Department of Labor</p>	<ul style="list-style-type: none"> • Copy of Registered Apprenticeship Standards, 671 Section 1, to include DOL’s approval and signature • A copy of documentation used for above verification must be saved to the participant’s electronic file.
<p>Actively Participating Apprentice</p>	<p>Individual participant understand 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"> • Fully completed and signed Apprenticeship Agreement form 671 section II • A copy of documentation used for above verification must be saved to the participant’s electronic file.