

**Industry-Recognized Apprenticeship Program  
Standards Recognition Entity Application Form**

**U.S. Department of Labor**  
Office of Apprenticeship  
Employment and Training Administration  
OMB No. 1205-XXXX  
Expires XX/XX/XXXX

**B. Who should use this form?**

Consistent with 29 CFR 29 subpart B, prospective Standards Recognition Entities (SREs) that intend to recognize the high quality of eligible industry-recognized apprenticeship programs (Industry-Recognized Apprenticeship Programs, or programs) developed by, or on behalf of, sponsoring employers or other organizations may submit the information requested in this form to the U.S. Department of Labor (Department or DOL). Types of entities eligible to become SREs include but are not limited to trade, industry, and employer groups or associations, companies, certification and accreditation bodies, educational institutions (such as universities or community colleges), state and local government agencies or entities, non-profit organizations, unions, joint labor-management organizations, or consortia or partnerships of entities such as those listed above. The Department will not accept applications from entities seeking to recognize apprenticeship programs in the construction industry or in the U.S. Military.<sup>1</sup> Based upon the information submitted, the Department will determine whether the applicant is qualified to act as an SRE of Industry-Recognized Apprenticeship Programs.

**C. How should the form be submitted?**

The form must be submitted electronically using the online application system at [www.apprenticeship.gov](http://www.apprenticeship.gov).

**D. When should this form be submitted?**

An entity must file this form when it first seeks recognition from the Department that it is qualified to act as an SRE of Industry-Recognized Apprenticeship Programs. If the Department recognizes the SRE, the SRE must request updated recognition from the Department using this form upon the earlier of: (1) making a substantive change to its recognition processes or seeking to recognize programs in additional industry(ies) or occupational areas, or (2) within five years of its most recent favorable recognition.

**Section I – Standards Recognition Entity Identifying Information**

<b>Employer Identification Number of Standards Recognition Entity</b>		<b>Website</b>
<b>Name of Standards Recognition Entity</b>		
<b>Address</b>		
<b>City</b>	<b>State</b>	<b>Zip Code</b>
<b>Contact Person</b>	<b>E-Mail Address</b>	<b>Telephone Number</b>
<b>Related Bodies</b> (foundations, affiliates, parent/subordinate organizations): _____ Please list any confirmed or potential partners who will be engaged in your recognition activities and describe their roles: _____		
<b>Attachment 1:</b> Documentation of organization’s legal status. (Examples of acceptable documents: Articles of Incorporation, SEC filings, Tax ID)		
<b>Scope of Apprenticeship Program(s):</b> Please list the industries, occupations, and all credentials relating to programs your organization is seeking to recognize: Please affirm that your organization will not recognize programs in the construction industry or in the U.S. Military: <input type="checkbox"/> Yes <input type="checkbox"/> No		
Does your organization sell, offer, or provide or plan to sell, offer, or provide off-the-shelf or custom apprenticeship programs or elements of apprenticeship programs (e.g., training plans, mentoring programs)? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Where do you plan to recognize programs? <input type="checkbox"/> National—in all 50 U.S. states and territories <input type="checkbox"/> Regional—in at least three U.S. states/territories that are adjacent to each other <input type="checkbox"/> State—in multiple non-adjacent U.S. states/territories or a single state <input type="checkbox"/> Local—in multiple or single municipalities only <input type="checkbox"/> Other (please specify)		

<sup>1</sup> An apprenticeship program is in the construction industry if it equips apprentices to provide labor whereby materials and constituent parts may be combined on a building site to form, make, or build a structure. See *Union Asphalts & Roadoils, Inc. v. MO-KAN Teamsters Pension Fund*, 857 F.2d 1230 (8th Cir. 1988). An apprenticeship program is in the U.S. Military if it provides a credential to members of the U.S. Military based on their military training and experience.

## Section II – Capabilities and Experience of the Standards Recognition Entity

<p><b>A. Organization Operational Information:</b> Please summarize your organization’s operations, covering all of the following elements:</p> <ul style="list-style-type: none"><li>• Your organizational structure (ATTACHMENT REQUIRED – ORG CHART), including if appropriate given your operations:<ul style="list-style-type: none"><li>o Lines of authority and responsibility of those associated with apprenticeship programs and any credentials your organization offers</li><li>o Depiction of separation between the individuals who create or design your organization’s apprenticeship program(s), if any, and the individuals who would assess such program(s) and make recognition decision(s)</li></ul></li><li>• CONDITIONAL QUESTION: If your organization also sells or otherwise offers off-the-shelf or custom apprenticeship programs, program elements (e.g., training plans), and/or services, describe in detail any organization structures or reporting relationships that separate or otherwise ensure your organization’s objectivity concerning the programs/elements/services it offers and the programs it recognizes and monitors.</li><li>• How your organization has acquired, or has developed plans to acquire, the financial resources to function as an SRE for the next five years (ATTACHMENT REQUIRED – FINANCIAL STATEMENT).</li></ul>
<p><b>B. Organizational Qualifications:</b> Please describe your organization’s qualifications, experience, capability, and validity in performing as a Standards Recognition Entity, covering all of the following elements:</p> <ul style="list-style-type: none"><li>• Your organization’s qualifications (in detail) to serve as a Standards Recognition Entity of high-quality Industry-Recognized Apprenticeship Programs, and to evaluate the training, structure, and curricula for Industry-Recognized Apprenticeship Programs in a given industry sector or occupational cluster.</li><li>• How your organization has the standing to serve as a Standards Recognition Entity of Industry-Recognized Apprenticeship Programs offering apprenticeships by industry or occupation. As part of your response, you should explain your organization’s capability for obtaining substantial, broad-based input, support, and consensus from industry experts concerning the standards your organization will set.</li><li>• Your organization’s experience, if any, conducting recognition or certification activities of similar work-based learning, training, and/or credentialing programs.</li><li>• The names and qualifications/competencies of the individuals who will be directly involved in the recognition process for programs your organization will recognize and monitor.</li></ul>

## Section III – Evaluating and Monitoring Elements of a High Quality Apprenticeship Program

<p>Please describe your organization’s specific policies and procedures for evaluating and monitoring high-quality Industry-Recognized Apprenticeship Programs so that the programs it recognizes and monitors have documented and verifiable evidence of all elements of a high-quality apprenticeship program.</p>
<p><b>A. Paid Work Component:</b> Please describe your organization’s specific policies and procedures for evaluating and monitoring each program’s Paid Work Component, specifically that each program:</p> <ul style="list-style-type: none"><li>• Has evidence that apprentices will be paid at least the minimum wage (according to Federal, state, and local requirements) as part of their employment.</li><li>• Has defined circumstances under which the wages of its apprentices will increase; will provide written notice to apprentices of those circumstances, and of their wages; and will disclose, before apprentices agree to participate in the program, any ancillary costs or expenses they would be charged.</li></ul>
<p><b>B. On-the-Job Instruction/Work Experience:</b> Please describe your organization’s specific policies and procedures for evaluating and monitoring each program’s On-the-Job Instruction/Work Experience, specifically that each program:</p> <ul style="list-style-type: none"><li>• Has documented and structured work experiences for apprentices.</li><li>• Will provide structured mentorship opportunities for apprentices.</li></ul>
<p><b>C. Classroom Instruction, Educational Partners, and Educational Credentials:</b> Please describe your organization’s specific policies and procedures for evaluating and monitoring each program’s classroom or related instruction—including apprentices’ receipt of credit for prior knowledge and experience relevant to instruction, where appropriate—and educational partners and educational credentials if any, specifically so that each program:</p> <ul style="list-style-type: none"><li>• Will provide or arrange for appropriate classroom or related instruction that helps apprentices gain occupational proficiency and earn occupational certifications, college credit, and/or other credentials. If the Industry-Recognized Apprenticeship Program will not provide such instruction directly, that program must identify potential educational partners, such as a vendor, community college, occupational school, or any other entities qualified to provide the instruction and ensure it is integrated with work experience, and must provide the following information about each of those entities:<ul style="list-style-type: none"><li>o Potential educational partners for related instruction</li><li>o Address(es) of potential educational partners</li><li>o Type of instruction (college class, vocation education, online, etc.)</li><li>o Point of contact(s) at the institution(s)</li><li>o Credential or certification(s) gained at educational institution</li></ul></li></ul> <p>Also summarize how your proposed evaluative processes support the development of appropriate instruction related to work experience.</p>

- D. Occupations and Occupational Credentials:** Please describe your organization's specific policies and procedures for evaluating and monitoring each program's occupations and occupational credentials, specifically that each program:
- Provides an industry-recognized credential to apprentices during their successful participation in or upon completing the program.
  - Has documented information about the credential(s) it offers in its program, including a description of generally-accepted credentials for the industry, the benefits that such credentials are expected to confer, and whether the program will lead to the receipt of one of those existing credentials or qualify apprentices to sit for a related exam.

In sectors where independent credentials exist and are not issued by a program, the program must identify the credential that will be offered, including the following:

- o Occupation(s)
- o O\*NET Code<sup>2</sup> for occupation(s)
- o Name of credential(s)
- o Organization issuing the credential(s)
- o Average time required to obtain credential(s)

Please describe your organization's process for disclosing the credential(s) associated with any program that is recognized.

- E. Equal Employment Opportunity (EEO) Requirements:** Please describe your organization's specific policies and procedures for evaluating and monitoring each program given your own EEO policies and procedures, specifically that each program:
- Will affirm its adherence to all applicable Federal, state, and local laws pertaining to Equal Employment Opportunity.
  - Will operate under your policies and procedures, as applicable, regarding potential harassment, intimidation, and retaliation.
  - Will operate under your policies and procedures, as applicable, that reflect your comprehensive outreach strategies to reach diverse populations.

In addition, please explain your approach for assigning responsibility to an individual to assist programs with EEO requirements.

## Section IV – Policies and Procedures

- A. General Recognition Processes:** Please describe your organization's proposed general processes, policies, and procedures for recognizing and monitoring high-quality Industry-Recognized Apprenticeship Programs, covering all of the following elements:
- Your organization's proposed processes for recognition of high-quality Industry-Recognized Apprenticeship Programs, and removal of such recognition, in their industries or occupational clusters, and for notifying the Department of such decisions.
  - The different types of recognition status (e.g. probationary, preliminary, etc.).
  - The recognition cycle and the rationale/evidence used to determine the length of cycle.
  - How your organization's proposed recognition process will result in programs consistent with the competency-based standards your organization will set.
  - How your organization will require the programs it recognizes to provide a safe working environment for apprentices that adheres to all applicable Federal, state, and local safety laws.
  - ATTACHMENTS REQUIRED:
    - o Copy of the application a program must submit to your organization for recognition, as well as any instructions.
    - o Template of the certificate to be issued when recognition is awarded. Both of the following items must be included on the final certificate:
      - The effective date of the recognition decision
      - The length of the recognition
    - o Copy (or template) of your organization's generic agreement with program(s). Agreement must include:
      - Commitment to fulfill the requirements of the recognition to be offered
      - Access to personnel, facilities, and documents as needed
      - Claim recognition(s) are only to the granted scope
      - Affirmation that your organization does not offer other services, including consultative services, that would affect the impartiality of the program(s) OR if your organization has offered other services to the program(s), affirmation that your organization has provided for impartiality and mitigated any potential conflicts of interest via specific policies, processes, procedures, and/or structures

<sup>2</sup> The O\*NET Program is the nation's primary source of occupational information. Valid data are essential to understanding the rapidly changing nature of work and how it impacts the workforce and U.S. economy. Applicants may find the O\*NET code for the occupations they plan to recognize at <https://www.onetonline.org/>.

<p><b>B. Data and Records Collection, Management, and Retention:</b> Please summarize the approach, infrastructure, and systems your organization will maintain to collect data and report on required elements of your recognition program, covering all of the following elements:</p> <ul style="list-style-type: none"> <li>• Your process for providing documentation of a substantive change made to your organization’s recognition processes, or of seeking to recognize programs in additional industry(ies) or occupational areas, or of any major change that could affect the operations of your recognition program, after DOL recognition has been granted. Note that this must be provided to the Department within 30 days of the change. (For example, notice should be provided of involvement in lawsuits that materially affect the Standards Recognition Entity, changes in legal status, or any other change that materially affects the Standards Recognition Entity’s ability to function in its recognition capacity.)</li> <li>• Your process, systems, policies, and procedures for maintaining all records relating to the following for a term of five (5) years after the termination of a program:             <ul style="list-style-type: none"> <li>o Personnel related to each program you recognize and monitor</li> <li>o Subcontracting agreements</li> <li>o Formal complaints and appeals (including those currently in the program’s possession)</li> <li>o Legal status</li> </ul> </li> <li>• Your policies and procedures for retaining and making available to the public up-to-date contact information for all Industry-Recognized Apprenticeship Programs your organization recognizes for the term of DOL’s recognition.</li> </ul> <p>Please summarize the approach your organization will take to ensure that your organization will retain and make available to the public performance- and outcome-related metrics and data for each of the programs it recognizes. These performance- and outcome-related metrics should include the following and be reported each year:</p> <ul style="list-style-type: none"> <li>o The total number of apprentices annually enrolled in each program;</li> <li>o Total number of apprentices who successfully completed the program annually;</li> <li>o The annual completion rate for apprentices;</li> <li>o The median length of time for program completion; and,</li> <li>o The post-apprenticeship employment rate of apprentices at completion.</li> </ul>
<p><b>C. Standards Recognition Entity and Recognition Integrity:</b> Please describe the approach your organization will take to ensure transparency, accountability, impartiality, confidentiality, objectivity, and independence, covering all of the following elements:</p> <ul style="list-style-type: none"> <li>• The policies and procedures your organization will implement so that the Industry-Recognized Apprenticeship Programs it evaluates receive objective, impartial, confidential, and equitable treatment in decision-making, and will be evaluated on the merits of the program(s).</li> <li>• <b>CONDITIONAL QUESTION:</b> If your organization plans to develop and sell, offer, or provide off-the-shelf apprenticeship programs or program elements (e.g., training plans), please detail the policies and procedures your organization will implement so that its off-the-shelf programs or program elements are evaluated and monitored in an objective, impartial, and equitable manner as compared with programs and/or program elements developed by other vendors or by the program sponsor.</li> <li>• Your complaints and appeals process.</li> </ul> <p>Please describe how your organization maintains or will maintain high quality in its recognition processes and in the programs it recognizes, covering all of the following elements:</p> <ul style="list-style-type: none"> <li>• Your quality assurance process, specifically:             <ul style="list-style-type: none"> <li>o Your assessment processes to ensure the competencies of programs are being achieved</li> <li>o The monitoring process that will be implemented during the recognition cycles</li> </ul> </li> <li>• How and how often your organization trains and calibrates assessors to ensure there is consistency (inter-rater reliability) of recognition decisions from program to program.</li> <li>• How your organization validated your recognition standards with the industry, and how your organization assesses the evidence submitted by an apprenticeship program in determining whether it meets the requirements of the standards.</li> </ul>

**Section V – Additional Representations of Program Quality by the Standards Recognition Entity**

<p><b>A. Standards Recognition Entity Record Retention:</b> Please affirm that, if your organization receives recognition from the U.S. Department of Labor that it is qualified to act as a Standards Recognition Entity of Industry-Recognized Apprenticeship Programs, your organization will maintain all records relating to the following: personnel related to the program(s), subcontracting agreements, formal complaints and appeals (including those currently in its possession), and legal status, for a term of five (5) years after the termination of DOL’s recognition period during which the records were created.</p> <p><input type="checkbox"/> Yes, I affirm <input type="checkbox"/> No, I do not affirm</p>
<p><b>B. Contact Information:</b> Please affirm that, if your organization receives recognition from the U.S. Department of Labor that it is qualified to act as a Standards Recognition Entity of Industry-Recognized Apprenticeship Programs, your organization will retain and make available to the public up-to-date contact information for all of the Industry-Recognized Apprenticeship Programs it recognizes for the term of DOL’s recognition.</p> <p><input type="checkbox"/> Yes, I affirm <input type="checkbox"/> No, I do not affirm</p>
<p><b>C. Safe Workplaces:</b> Please affirm that, if your organization receives recognition from the U.S. Department of Labor that it is qualified to act as a Standards Recognition Entity of Industry-Recognized Apprenticeship Programs, your organization will ensure that each program provides a safe working environment for apprentices that adheres to all applicable Federal, state, and local safety laws.</p> <p><input type="checkbox"/> Yes, I affirm <input type="checkbox"/> No, I do not affirm</p>

<p><b>D. Data and Performance Metrics:</b> Please affirm that, if your organization receives recognition from the U.S. Department of Labor that it is qualified to act as a Standards Recognition Entity of Industry-Recognized Apprenticeship Programs, your organization will retain documentation concerning program performance and outcome metrics for the period of time it holds DOL’s recognition, and will also make available to the public the required performance- and outcome-related metrics for each of the Industry-Recognized Apprenticeship Programs it recognizes.</p> <p><input type="checkbox"/> Yes, I affirm <input type="checkbox"/> No, I do not affirm</p>
<p><b>E. Conflict of Interest:</b> Please affirm that your organization does not provide any consultative services to apprenticeship programs and does not offer other services that could affect the impartiality of the programs it recognizes, OR that it has provided – via response to this application – evidence of its ability to mitigate its potential conflicts of interest.</p> <p><input type="checkbox"/> Yes, I affirm <input type="checkbox"/> No, I do not affirm</p>
<p><b>F. Debarments and Injunctions:</b> Please affirm that your organization has no relevant injunctions, debarments, or other restrictions on it which may prevent it from being permitted to do business with the U.S. Federal Government and/or with members of its industry sector.</p> <p><input type="checkbox"/> Yes, I affirm <input type="checkbox"/> No, I do not affirm</p>

**Section VI – Attestation**

The individual listed below, as a representative of the Standards Recognition Entity described in Section I of this form, hereby certifies that all of the information disclosed in this form is true and complete, to the best of his or her knowledge.		
_____ Signature	_____ Print Name	_____ Date

Confidentiality – Under this collection, the name of a potential Standards Recognition Entity will be posted on [www.apprenticeship.gov](http://www.apprenticeship.gov) if the U.S. Department of Labor issues a favorable recognition letter with respect to the entity. While information collected by this form is generally subject to public disclosure under the Freedom of Information Act (FOIA), Exemption #4 of FOIA (at 5 U.S.C. §552(b)(4)) affords protection to submitters (such as Standards Recognition Entities) that are asked to furnish commercial or financial information to the Federal Government by safeguarding them from the competitive disadvantages that could result from disclosure. In addition, all documents and other information in an application become public information when submitted unless: (1) particular items are specifically designated as confidential or (2) the Office of Apprenticeship determines particular information appears to be confidential. However, neither of these two conditions guarantees confidentiality. If either condition applies, the Office of Apprenticeship will provide an applicant an opportunity to object to disclosure of the information. For more information, see 29 CFR part 70, “Production and Disclosure of Information or Materials.”

Public Burden Statement – Persons are not required to respond to this collection of information unless it displays a currently valid OMB control number. Public reporting burden for this collection of information is estimated to average approximately 33 hours and 10 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Subsequent substantive changes, if needed, are estimated to require an average of 10 hours per response. The obligation to respond is required to obtain a favorable recognition from the Department under 29 U.S.C. 50. Send comments regarding this burden or any other aspect of this collection of information including suggestions for reducing this burden to the U.S. Department of Labor, Office of Apprenticeship, 200 Constitution Avenue, N.W., Room C-5321, Washington, D.C. 20210 (OMB Control Number 1205-XXXX).