



29 Code of Federal Regulations (CFR) Parts 29 and 30 State Apprenticeship Agency (SAA) Self-Assessment Template

This template is a technical assistance tool that may be used by SAAs to conduct periodic self-assessments of conformity with Federal requirements.

DATE: _____

- A. Cite your state's most recent apprenticeship laws, regulations, statutes, and/or other policy guidance corresponding to 29 CFR part 29 and provide an electronic link where the law may be viewed online.**

Date of most recent revision(s) _____

- B. Cite your state's most recent apprenticeship laws, regulations, statutes, and/or other policy guidance corresponding to 29 CFR part 30 and provide an electronic link where the law may be viewed online.**

Date of most recent revision(s) _____

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29 CFR Part 29

	Yes	No
1. Individual with SAA oversight responsibility (§ 29.13(b)(3)) <ul style="list-style-type: none"> Name and title of the administrative head of the SAA: 		
2. Does the SAA have a State apprenticeship law, whether instituted through statute, Executive Order, regulation, or other means, that OA, through official correspondence, has deemed to be in conformity with the requirements of 29 CFR part 29 and part 30? (§ 29.13(a)(1)) If yes, what is the date of that correspondence? _____		
If your answer to question #2 is "Yes", please proceed to page 5, question #1. If your answer to question #2 is "No", please proceed to question #3.		
Comments:		
3. Does the SAA have a description of the basic standards, criteria, and requirements for program registration and/or approval? (§ 29.13(a)(4))		
Comments:		
4. Has the SAA demonstrated linkages and coordination with the State's economic development strategies and publicly funded workforce investment system? (§ 29.13(a)(4))		
Comments:		
5. Does the SAA require that apprenticeship programs, to be eligible for registration and approval, conform to the standards of apprenticeship? (§ 29.5)		
Comments:		
6. Does the SAA have a description of policies and operating procedures which depart from or impose requirements in addition to those prescribed in 29 CFR part 29? (§ 29.13(a)(5))		

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If yes, list all policies or operating procedures that deviate from the requirements prescribed in 29 CFR part 29.		
	Yes	No
7. Are the contents of the apprenticeship agreements prescribed in conformity with § 29.7? (§ 29.13(b)(5))		
Comments:		
8. Does the registration of apprenticeship programs only occur in occupations suitable for apprenticeship as provided in § 29.4? (§ 29.13(b)(6))		
Comments:		
9. Does the SAA provide reciprocal approval, for Federal purposes , to apprentices, apprenticeship programs and standards registered in other States by OA or a Registration Agency, if the apprenticeship program sponsor requests such reciprocity? (§ 29.13(b)(7))		
Comments:		
10. Does the SAA provide for the cancellation and/or deregistration of programs, and for temporary suspension, cancellation, and/or deregistration of apprenticeship agreements? (§ 29.13(b)(8))		
Comments:		
11. Has the SAA submitted all proposed modifications in legislation, regulations, policies and/or operational procedures planned or anticipated by the SAA, either at the time of application for recognition or subsequently, to the Office of Apprenticeship for review and obtained the Office of Apprenticeship's concurrence prior to implementation? (§ 29.13(b)(9))		
Comments:		
12. Does the State provide sufficient resources to carry out the functions of a Registration Agency, including Outreach and education; registration of programs and apprentices; provision of technical assistance, and monitoring as required to fulfill the requirements of this part? (§ 29.13(b)(2))		
Comments:		

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13. Does the SAA conform to the requirements of § 29.3(j) with respect to the registration and/or approval of programs under a collective bargaining agreement or other instrument? (§ 29.3(j))		
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Comments:

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State Apprenticeship Council (Pursuant to 29 CFR Part 29)

The Department's regulation at 29 CFR part 29 stipulates that the SAA must establish and continue to utilize a State Apprenticeship Council (SAC), which operates under the direction of the SAA, and it may be either regulatory or advisory. (§ 29.13(a)(2)) Note: A regulatory SAC may promulgate apprenticeship law at the direction of the SAA. An advisory SAC may provide advice and guidance to the SAA on the operation of the State's apprenticeship system.	Yes	No
1. Has the SAA established and used a SAC on a continuing basis? 1a. Is the SAC currently operating in a regulatory or advisory capacity? _____		
Comments:		
2. Does the State apprenticeship law define the role of the SAC?		
Comments:		
3. Does the SAA have and final authority for the approval of apprenticeship programs (not the SAC)?		
Comments:		
4. Is the SAC composed of persons familiar with occupations suitable for apprenticeship?		
Comments:		
5. Does the SAC include an equal number of representatives of employer and of employee organizations, and have public representation?		
Comments:		
6. Is there a clear delineation of the respective powers and duties of the State Office, the SAA, and the SAC? (§ 29.13(b)(3))		
Briefly describe the duties of each entity:		

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Requirements for SAAs under the Support for Veterans in Effective Apprenticeships Act (Circular 2020-03)

	Yes	No
<p>1. Does the SAA's registration forms include an attestation by program sponsor that they are: (1) aware of the availability of Title 38 educational assistance for veterans and other eligible individuals; (2) will make a good faith effort to obtain approval for such educational assistance for each program location that recruits or employs a veteran or other eligible individual; and (3) will not deny the application of a qualified apprenticeship applicant who is a veteran or other individual qualified for Title 38 educational benefits for the purpose of avoiding making a good faith effort to obtain approval for such benefits?</p> <p>Note: if the SAA uses OA's Approved Boilerplates for their Standards, they have met this requirement.</p> <p>If no, what is the SAA's current process for informing veterans and other eligible individuals of their awareness for veterans' educational assistance.</p> <p>Comments:</p>		
<p>2. Has the SAA provided strategies and guidance for sponsors to utilize when considering granting advanced standing or credit for veterans or other eligible individuals?</p> <p>If no, consult with OA's Circular 2020-04 for ideas to promote advanced standing for veterans.</p>		
<p>3. Does the SAA have an established relationship with the state's State Approving Agency for veterans' benefits?</p> <p>If no, describe a plan for facilitating a liaison role with this agency.</p> <p>Comments:</p>		

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29 CFR PART 30. EEO in Apprenticeship

Equal Employment Opportunity (EEO) Standards (Applicable to All Sponsors)

	Yes	No
<p>Does the SAA have a State apprenticeship law, whether instituted through statute, Executive Order, regulation, or other means, that OA, through official correspondence, has deemed to be in conformity with the requirements of 29 CFR part 29 part 30? (§ 29.13(a)(1))</p> <p>If yes, what is the date of the correspondence? _____</p>		
<p>If the answer to the question above is "Yes", please proceed to page 13, question #1.</p> <p>If the answer to the question above is "No", please proceed to question #1.</p>		
<p>1. Do the SAA's statutes and/or regulations include a requirement for all approved program sponsors that discrimination is prohibited against an apprentice or applicant for apprenticeship on the basis of the following bases, following the requirements contained in § 30.3(a)(1), including the prohibited practices listed in § 30.3(a)(1)(i)-(x):</p> <ul style="list-style-type: none"> • Race? • Color? • Religion? • National origin? • Sex? • Sexual orientation? • Gender identity? • Age (40 or older)? • Genetic information? • Disability 		
Comments:		
<p>2. In evaluating discrimination based on race, color, religion, national origin, sex, gender identity, or sexual orientation, does the SAA adopt the legal standards and defenses applied under Title VII of the Civil Rights Act of 1964 and Executive Orders 11246, 13985, and 13988 as applicable? (§ 30.3(a)(2)(i))</p>		
Comments:		
<p>3. In evaluating discrimination based on disability, does the SAA apply the same legal standards, defenses, and exceptions to the definition of disability as those set forth in Title I of the Americans with Disabilities Act (ADA) and its implementing regulations and interpretive guidance? (§ 30.3(a)(2)(ii))</p>		
Comments:		

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4. In evaluating discrimination based on age, does the SAA apply the same legal standards and defenses for age discrimination as those set forth in the Age Discrimination in Employment Act (ADEA) and its implementing regulations? (§ 30.3(a)(2)(iii))		
Comments:		

5. In evaluating discrimination based on genetic information, does the SAA apply the same standards and defenses as those set forth in the Genetic Information Nondiscrimination Act (GINA) and its implementing regulations? (§ 30.3(a)(2)(iv))		
Comments:		

6. Does the SAA ensure registered apprenticeship program sponsor take affirmative steps to provide equal opportunity in apprenticeship? (§ 30.3(b))		
Comments:		

7. Do the State's regulations set forth the following requirements contained in § 30.1: <ul style="list-style-type: none"> • Equal opportunity obligations of sponsors (§ 30.3)? • The contents of affirmative action programs (§ 30.4)? • Procedures for the filing and processing of complaints (§ 30.14)? • Enforcement procedures (§ 30.15)? 		
Comments:		

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Affirmative Action Programs

(Note: This section applies only to registered apprenticeship programs with five (5) or more apprentices.)

	Yes	No
Has the SAA adhered to or adopted the requirements contained in § 30.4, which provides a definition and purpose of affirmative action programs?		
Comments:		

Utilization Analysis for Race, Sex, and Ethnicity

(Note: This section applies only to registered apprenticeship programs with five (5) or more apprentices.)

	Yes	No
Has the SAA adhered to or adopted the requirements contained in § 30.5, which states the purpose and characteristics a of utilization analysis?		
Comments:		

Establishment of Utilization Goals for Race, Sex, and Ethnicity

(Note: This section applies only to registered apprenticeship programs with five (5) or more apprentices.)

	Yes	No
1. Has the SAA adhered to or adopted the requirements contained in § 30.6, which defines the purpose and establishment of utilization goals for race, sex, and ethnicity for applicable sponsors?		
Comments:		
2. Has the SAA adhered to or adopted the requirements contained in § 30.7, which defines the purpose and establishment of utilization goals for individuals with disabilities?		
Comments:		

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3. Has the SAA adhered to or adopted the requirements contained in § 30.8, which defines the minimum activities required for targeted outreach, recruitment, and retention, for applicable sponsors (including sponsors finding underutilization or other problem areas)?		
Comments:		
4. Has the SAA adhered to or adopted the requirements contained in § 30.9(a), which defines the review of personnel processes, compliance dates for current and new sponsors, and expected outcome of the review of personnel processes?		
5. Has the SAA adhered to or adopted the requirements contained in § 30.9(b), which requires a description of its review in its written affirmative action plan as well as any modification made or to be made to the program as a result of its review?		
Comments:		

SAA Recordkeeping Requirements (Applicable to All Sponsors)

	Yes	No
1. Does the SAA require that program sponsors collect data and maintain records necessary to determine whether such sponsors meet the requirements of 29 CFR part 30? (§ 30.12(a - f))		
1a. Are programs sponsors required to use RAPIDS to collect data and maintain records?		
Comments:		

EEO Compliance Reviews

	Yes	No
1. Does the SAA regularly conduct EEO compliance reviews (Extended Apprenticeship Program Reviews) of apprenticeship programs to determine if the sponsor is maintaining compliance with the requirements contained in 29 CFR part 30, and does the SAA conduct such compliance reviews when circumstances warrant? (§ 30.13(a))		
1a. How many Extended Apprenticeship Program Reviews has the SAA conducted over the last 12 months? _____		
Comments:		
2. Within 45 days of completing an EEO Compliance Review, does the SAA present a written Notice of Compliance Review Findings to the program sponsor setting forth any deficiencies identified, how to remedy those deficiencies, the time period for correcting the cited deficiencies, and advising that		

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enforcement action may be undertaken if a compliance action plan outlining how such deficiencies will be addressed is not timely submitted to the SAA (ordinarily within 30 business days of receipt of the Notice)? (§§ 30.13(b) and (c))		
Comments:		

EEO Complaint Processes

	Yes	No
1. Has the SAA completed all activities required to expediently investigate complaints filed under part 30.14(a)(b)? (§ 30.14)		
Comments:		

EEO Enforcement Actions

	Yes	No
1. Has the SAA determined programs are not operating in accordance with the requirements of 29 CFR part 30 in the last 12 months? (§ 30.15) 1a. How many programs has the SAA determined to not be operating its program in accordance with the requirements of 29 CFR part 30 in the past 12 months? _____		
2. Which enforcement action have been taken against programs found not to be operating in accordance with the requirements of 29 CFR part 30? (§ 30.15)		
Comments:		

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EEO State Plan and EEO Recordkeeping Requirements

	Yes	No
1. Has the SAA submitted to OA a State EEO Plan that:		
a. Includes, at a minimum, draft State apprenticeship authorizing language corresponding to the requirements of 29 CFR part 30? (§ 30.18(a)(1)(i))		
Comments:		
b. Requires all registered apprenticeship programs to comply with the requirements of the State EEO Plan within 180 days from the date that OA provides written approval of the State EEO Plan? (§ 30.18(a)(1)(ii))		
Comments:		
2. Does the SAA have a State Plan for EEO in Apprenticeship that conforms to the requirements in 29 CFR part 30? (§ 29.13(a)(3))		
2a. Has OA, through official correspondence, deemed the State Plan for EEO in Apprenticeship to be in conformity with the requirements of 29 CFR part 30? (§ 29.13(a)(1))		
If the answer question #2a is "Yes", you have completed the SAA Self-Assessment Template. If the answer to the question #2a is "No", please proceed to question #3.		
3. Has the SAA established policies and procedures to promote equality of opportunity in apprenticeship programs pursuant to a State Plan for EEO in Apprenticeship which adopts and implements the requirements of 29 CFR part 30, and to require apprenticeship programs to operate in conformity with such State Plan and 29 CFR part 30? (§ 29.13(b)(4))		
Comments:		
4. Has the SAA maintained, for a minimum of 5 years from their date of creation, all records pertaining to program compliance reviews, complaint investigations, and any other records relevant to determining compliance with 29 CFR part 30? (§ 30.18(b))		
Comments:		