EVALUATION DESIGN REPORT

Apprenticeship Evidence-Building Portfolio Implementation Evaluation Design

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Acknowledgments

Executive Summary

This report describes the design for the implementation evaluation of the Scaling Apprenticeship through Sector-Based Strategies grants (referred to throughout as Scaling Apprenticeship grants) and the Apprenticeships: Closing the Skills Gap grants (referred to throughout as Closing the Skills Gap grants). In 2019, U.S. Department of Labor (DOL) awarded $183.8 million through Scaling Apprenticeship grants to 23 grantees representing community colleges and college consortia in 18 states to expand both registered and unregistered apprenticeship. The awards ranged from $2 million to $12 million over a four-year grant period to programs in sectors with high demand for skilled workers, most notably health care, information technology (IT), and advanced manufacturing. In 2020, DOL awarded nearly $100 million through Closing the Skills Gap grants to 28 public–private partnerships to expand apprenticeship in the same key sectors, with a particular focus on cybersecurity and artificial intelligence occupations. The awards ranged from $500,000 to $6 million, again over a four-year grant period.

The DOL Chief Evaluation Office (CEO) contracted with the Urban Institute and its partners, Mathematica and Capital Research Corporation, to conduct the Apprenticeship Evidence-Building Portfolio project with the primary goal of understanding the impact and implementation of recent investments in apprenticeship sponsored by the department, including the Scaling Apprenticeship and Closing the Skills Gap grants. CEO is interested in documenting and assessing the design, implementation, and expansion of apprenticeship components, models, partnerships, and strategies. It is also interested in using implementation findings to inform the design and interpretation of findings from the impact evaluation, which focuses on unregistered apprenticeships.

Research Questions

The primary objective of the implementation evaluation is to document and understand the implementation of components, models, partnerships, and strategies, and the degree to which they appear promising for businesses, apprentices, and systems within the context of the Scaling Apprenticeship and Closing the Skills Gap grants. The implementation evaluation will also serve to inform the design and interpretation of findings from the impact evaluation. To that end, the overall research questions are as follow:

- What apprenticeship components, models, partnerships, and strategies have the Scaling Apprenticeship and Closing the Skills Gap grantees designed or expanded?

- How have the grantees implemented the components, models, partnerships, and strategies?

- What components, models, partnerships, and strategies appear promising for supporting positive outcomes for apprentices, businesses, and systems?

- What typologies of apprenticeship emerge from the grant activities that might be replicable?

Data Sources

To answer the research questions, the project team will collect data from leaders and staff representing the Scaling Apprenticeship and Closing the Skill Gap grantees and their partners as well as apprentices enrolled in programs created or expanded through the grants. The team will conduct two primary data collection activities: (1) interviews and focus groups with the staff, partners (including employers), and apprentices of 18 selected grantees; and (2) a web-based survey of all 51 grantees. They will also use secondary data sources (e.g., grantee reporting) to inform the site visits and interpret findings.

Interviews and Focus Groups

The project team will conduct interviews with staff and partners and focus groups of apprentices of 18 selected grantees (comprised of nine Scaling Apprenticeship and nine Closing the Skills Gap grantees). Each interview and focus group will allow for a range of perspectives on how grants are currently structured and operate at the grantee and program levels. We will examine

- apprenticeship models, components, partnerships, and strategies in high-growth occupations and industries,

- strategies for developing new or enhancing existing apprenticeship programs,

- strategies for expansion of apprentices and for targeting underserved populations, and

- providing a deeper understanding of new and expanded strategies to help explain what works, why, and for whom.

Each focus group will cover topics such as how apprentices heard about the apprenticeship program they are attending; why they decided to participate; views on the duration and structure of the

apprenticeship program, including perspectives on the related education and training instruction and on-the-job training; specific ways in which attending the apprenticeship program helped to improve skills, credentials, and employment, and to increase job responsibilities and wages; and what apprentices like most and least about their programs, as well as recommendations on how the apprenticeship program might be improved.

Web-Based Grantee Survey

The web-based survey will include all grantees (the 23 Scaling Apprenticeship and 28 Closing the Skills Gap Programs). The survey will provide the breadth of knowledge needed to systematically understand how grantees have structured and implemented their apprenticeship initiatives. The survey will take approximately 90 minutes for grantee staff to complete based on the length and detail of the questions.

The survey is designed to address the research questions but follow a more logical flow for grantees covering topics including program context, employer recruitment and engagement, policy changes and expansion strategies, apprentice target population and recruitment, program components, partnering organizations, pre-apprenticeship (for Scaling Apprenticeship grants only), sustainability plans and lessons learned.

The survey questions are mostly multiple choice and closed-ended but there are some open-ended questions to give respondents a chance to provide additional context to their answers. In addition, the questions provide respondents with the option to choose "other" and add a response so the team can capture the full range of activities implemented by grantees.

Analysis and Reporting

We anticipate two analytical tasks: a descriptive analysis and a thematic analysis. The descriptive analysis will provide a comprehensive picture of the components, models, partnerships, and strategies implemented by the 23 Scaling Apprenticeship and 28 Closing the Skills Gap grants. It will use data from the web-based survey and information gleaned from the review and extraction of all grantee applications, and where possible, supplemented by other data grantee performance reporting to create an analysis file. The team will first develop descriptive univariate tabulations of the survey data. They will then produce selected crosstabulations, especially to look at variation across industries, target populations, and program models.

The team also plans to use the survey data to conduct a cluster analysis to explore emerging typologies of apprenticeship. The cluster analysis is designed to group a set of objects (a "cluster") in such a way that objects in the same group are more similar to each other than to those in other groups. Using the cluster analysis, the team will identify the most likely groupings of components, models, partnerships, and strategies implemented by grantees and for which industries and target populations. The team will use the survey data to identify program features that can be used in the impact evaluation to analyze how impacts vary across program features or types. The team will create an analysis file with program features for the grantees included in the impact evaluation.

The team will also conduct a thematic analysis of the interview and focus group data from the 18 grantees visited to provide an in-depth understanding of the implementation of components, models, partnerships, and strategies and highlight promising approaches to apprenticeship. The coding and analysis approach will use "applied thematic analysis." The project team will employ this inductive approach through team coding and analysis meetings where site visit team members and coders discuss emerging themes to provide multiple perspectives, harmonize team coding, ensure analytical validity, and enrich the analysis. The team will use analysis techniques to draw out themes and patterns across the grantees and types of respondents to ensure an understanding of the programs and services from all perspectives. We will construct tables to organize qualitative data in a way that these patterns can be observed. The team will then use the thematic analysis to describe the typologies more completely and identify grantees that align with these typologies.

The project team will produce a final report on the implementation evaluation and its findings.

Apprenticeship Evidence-Building Portfolio Implementation Evaluation Design

The U.S. Department of Labor (DOL) awarded the Scaling Apprenticeship through Sector-Based Strategies grants (referred to throughout as Scaling Apprenticeship grants) in 2019, investing $183.8 million to expand both registered and unregistered apprenticeship (definitions found on page 3) across traditional and new industry sectors and occupations. Twenty-three grantees representing community colleges and college consortia in 18 states received awards ranging from $2 million to $12 million over a four-year grant period to expand apprenticeship programs in sectors with high demand for skilled workers, most notably healthcare, information technology (IT), and advanced manufacturing. In 2020, DOL awarded nearly $100 million through the Apprenticeships: Closing the Skills Gap grant (referred to throughout as Closing the Skills Gap grants) to 28 public-private partnerships to expand apprenticeship in the same key sectors, with a particular focus on cybersecurity and artificial intelligence occupations. The awards ranged from $500,000 to $6 million, again over a four-year grant period.

The DOL Chief Evaluation Office (CEO) contracted with the Urban Institute and its partners, Mathematica and Capital Research Corporation, to conduct the Apprenticeship Evidence-Building Portfolio project with the primary goal of understanding the impact and implementation of recent investments in apprenticeship sponsored by the department, including the Scaling Apprenticeship and Closing the Skills Gap grants. This report presents the design for an implementation evaluation of the Scaling Apprenticeship and Closing the Skill Gap grants. CEO is interested in documenting and assessing the design, implementation, and expansion of apprenticeship components, models, partnerships, and strategies. It is also interested in using implementation findings to inform the design and interpretation of findings from the impact evaluation, which focuses on unregistered apprenticeships.

The report first provides background information on apprenticeships and the two grant programs. It then discusses the research questions of interest, the conceptual framework for the implementation evaluation, and an overview of the methods. Finally, it presents the data collection, analysis, and reporting plans.

Background

This chapter provides background information relevant to the implementation evaluation. It first provides an overview of the key concepts relevant to understanding apprenticeship. It then describes the two grant programs that are the focus of the implementation evaluation—the Scaling Apprenticeship and Closing the Skills Gap grants.

Key Concepts for Understanding Apprenticeship

Apprenticeship combines classroom learning with on-the-job training and provides a credential upon completion (Deutsch et al. forthcoming). To inform the design of the implementation evaluation, we define key programmatic concepts, including components, models, partnerships, and strategies based on the language in the grant announcements for the Scaling Apprenticeship and Closing the Skills Gap grants.[1] **Apprentices** are paid, productive employees of an employer who either sponsors the apprenticeship program or is a partner of a program sponsor.

An **apprenticeship program** (registered or unregistered) is a structured training program for a specific occupation that includes an employer who provides on-the-job training and paid employment to the apprentice, a related instruction provider, and a nationally recognized credential. Programs can also include one employer or multiple employers. If multiple employers sign on to the same apprenticeship standards, they are considered a single "program." Employers or other program partners may operate multiple programs in different occupations, or they may only operate a single program. The key **program components** of an apprenticeship program may include: (1) paid, work-based experience; (2) on-the-job training and mentorship; (3) related technical instruction; (4) industry-recognized credential; and (5) policies for safety, supervision, and equal employment opportunity. All five program components are required for the Scaling Apprenticeship and Closing the Skills Gap grants. There are also various **program models** of apprenticeship, including the following:

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[1] The grant announcement for the Scaling Apprenticeship grants can be found at "Notice of Availability of Funds and Funding Opportunity Announcement For: Scaling Apprenticeship through Sector-Based Strategies," U.S. Department of Labor, Employment and Training Administration, accessed September 29, 2023, https://www.dol.gov/sites/dolgov/files/ETA/grants/pdfs/FOA-ETA-18-08.pdf.

The grant announcement for the Closing the Skills Gap grants can be found at "Notice of Availability of Funds and Funding Opportunity Announcement For: Apprenticeships: Closing the Skills Gaps," U.S. Department of Labor, Employment and Training Administration, accessed September 29, 2023, https://www.dol.gov/sites/dolgov/files/ETA/skillstraining/FOA-ETA-19-09%20CSG.pdf.

- **A registered apprenticeship program** meets federal and state standards and is registered with DOL or with a DOL-approved state apprenticeship agency (SAA). Both the DOL Office of Apprenticeship and SAAs register programs after approving their standards, which provide detailed plans for at least 2,000 hours of on-the-job training and a recommended minimum of 144 hours of related technical instruction. DOL or an SAA may periodically inspect the program to ensure that it follows apprenticeship standards and all health, safety, and equal employment opportunity regulations.[2]

- **An unregistered apprenticeship program** is a model that uses the same earn-and-learn model as a registered apprenticeship but does not go through the same registration process or DOL review process for apprenticeship standards. Unregistered apprenticeships can include a variety of approaches for upskilling an employee with occupation-specific training. Unregistered apprenticeships are often shorter than registered apprenticeships because they do not have to meet the same requirements for the number of on-the-job training hours and related training instruction. They are also ineligible for the public funding earmarked for registered apprenticeships.

- A **pre-apprenticeship program** is designed to prepare individuals for entry into an apprenticeship program or, in some cases, into other job opportunities. It may last anywhere from a few weeks to a few months and may or may not include a paid work-based experience. Pre-apprenticeship programs have varied components; however, at the core, they place an individual on a pathway to employability that intends to include an apprenticeship program.[3]

- A **youth apprenticeship program** is for youth ages 16 through 24. It combines academic and related technical instruction with work-based experience. It also provides the foundation for youth to choose between multiple pathways—college, full-time employment, or a combination.[4]

At the core of apprenticeship programs are **partnerships**. Apprentices are sponsored by an employer or group of employers (sometimes in collaboration with a union) to receive paid, work-based experience and on-the-job training. Education and training providers, such as institutions of higher education, provide the related technical instruction.

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[2] For registered apprenticeship, standards are presented in a document that specifies the details of the on-the-job training, related training instruction, wage progression as a part of the work-based experience, and credentials to be awarded. DOL or a state apprenticeship agency then approves the document for the program to be considered "registered."

For more information, see DOL's webpage on registered apprenticeship programs at "What is a Registered Apprenticeship Program?" Apprenticeship USA, Department of Labor, accessed September 29, 2023, https://www.apprenticeship.gov/employers/registered-apprenticeship-program.

[3] For more information, see DOL's webpage on pre-apprenticeship at "What is Pre-Apprenticeship?" Apprenticeship USA, Department of Labor, accessed September 29, 2023, https://www.apprenticeship.gov/help/what-pre-apprenticeship.

[4] For more information, see DOL's webpage on youth apprenticeship at "What Do We Mean by Youth Apprenticeship?" Apprenticeship USA, Department of Labor, accessed September 29, 2023, https://www.apprenticeship.gov/educators/high-school-and-middle-school.

Other organizations commonly support the design, implementation, and expansion of apprenticeship programs. National industry and trade associations may develop programs and award credentials for occupations within an industry. Some organizations may serve as intermediaries for supporting apprenticeship, including workforce development boards, labor-management organizations, community-based organizations, and private, nonprofit service providers. Other organizations may support outreach and training activities, including industry-led training organizations, industry intermediaries, unions, nonprofit educational organizations, Small Business Development Centers, American Job Centers, YouthBuild programs, community organizations that provide social support or wrap-around services, and federally funded programs.

There are many **strategies** that can support the training of apprentices. These include

- establishing new apprenticeship programs,
- creating the training infrastructure and network necessary to deploy these programs,
- expanding existing apprenticeships, and
- promoting programs at the national, regional, and local scale.

Other strategies may include

- the development of industry-approved competency-based curricula for both on-the-job training and related technical instruction,
- the creation of competency-based occupational standards for an industry sector (including industry-issued), and
- nationally recognized, portable credentials or "industry-recognized" credentials, development of appropriate quality assurance and data systems and processes to ensure the consistency and quality of the new apprenticeship programs, and outreach to employers to expand apprenticeship within a given industry sector.

Scaling Apprenticeship and Closing the Skills Gap Grants

DOL is by far the most active federal agency in supporting apprenticeship training. Among its many federal investments in apprenticeship, the Scaling Apprenticeship and Closing the Skills Gap grants are two of the most recent and are funded using H1-B funds. Both grant programs have similar goals and require the implementation of apprenticeship program models with the five program components previously mentioned. Below is a summary of the grant programs.

Scaling Apprenticeship Grants[5]

On June 24, 2019, DOL awarded $183.8 million in four-year grants to 23 colleges and consortia to expand apprenticeship in new industry sectors through the Scaling Apprenticeship through Sector-Based Strategies grants. Some key features of the grants are as follows:

- Grantees can be an institution of higher education representing a consortium of institutions of higher education and state systems of higher education, such as a community college system office or a single state higher education board.

- Grantees can use registered or unregistered apprenticeship models and pre-apprenticeship models.

- The anticipated number of participants served ranges from approximately 800 to 10,500, with 385 to 5,910 to be hired by employers.

- Grantees are focusing on advanced manufacturing, information technology, and health, with one grantee focused on a variety of different industries (information technology, health, finance, construction, transportation, and hospitality).

- The Scaling Apprenticeship lead grantees are based in 18 different states, but some have proposed activities with partners operating nationwide. Most of the grantees, though, restrict their activities to a single state.

- Grantees are required to partner with the private sector, which could be a national industry or trade association or a consortium of at least five businesses representing an industry sector. They are also encouraged to partner with other organizations that commonly support the design, implementation, and expansion of apprenticeship programs.

Closing the Skills Gap Grants[6]

On February 18, 2020, DOL awarded $99.3 million in four-year Closing the Skills Gap grants to 28 public-private partnerships to expand apprenticeships in industry sectors and occupations that have not traditionally had apprenticeships. Some key features of the grants are as follows:

- Grantees can be institutions of higher education, state systems of higher education, nonprofit trade organizations, industry or employer associations, labor unions, and labor-management organizations.

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[5] This summary draws from "Notice of Availability of Funds and Funding Opportunity Announcement For: Scaling Apprenticeship through Sector-Based Strategies," U.S. Department of Labor, Employment and Training Administration, accessed September 29, 2023, https://www.dol.gov/sites/dolgov/files/ETA/grants/pdfs/FOA-ETA-18-08.pdf, and our team's review of the grant applications.

[6] This summary draws from "Notice of Availability of Funds and Funding Opportunity Announcement For: Apprenticeships: Closing the Skills Gaps," U.S. Department of Labor, Employment and Training Administration, accessed September 29, 2023,https://www.dol.gov/sites/dolgov/files/ETA/skillstraining/FOA-ETA-19-09%20CSG.pdf, and our team's review of the grant applications.

- Grantees can use registered or unregistered apprenticeship models *but not* pre-apprenticeship models.

- Anticipated enrollment ranges from approximately 800 to 7,200 participants.

- Grantees are focusing on advanced manufacturing, information technology, health, artificial intelligence, cybersecurity, and utilities, with one grantee focused on a variety of different industries.

- Grantees are based in 21 different states, but many have proposed activities with partners operating nationwide or in multiple states. Most of the grantees restrict their programs to a single state with some statewide and regionally focused activities.

- Grantees are required to partner with employers—at least three if they are local, regional, or statewide, or at least five if they are nationwide. They are also required to partner with institutions of higher education if they are not the grantee. Grantees are encouraged to partner with other organizations that commonly support the design, implementation, and expansion of apprenticeship programs.

Research Questions, Conceptual Framework, and Methods

This chapter describes our overall approach to the implementation evaluation. It first presents the research questions. The chapter then describes the conceptual framework, which guides the implementation evaluation of the Scaling Apprenticeship and Closing the Skills Gap grants. It then provides an overview of the methods for the implementation evaluation.

Research Questions

The primary objective of the implementation evaluation is to document and understand the implementation of components, models, partnerships, and strategies, and the degree to which they appear promising for businesses, apprentices, and systems within the context of the Scaling Apprenticeship and Closing the Skills Gap grants. The implementation evaluation will also serve to inform the design and interpretation of findings from the impact evaluation. To that end, the overall research questions are as follow:

- What apprenticeship components, models, partnerships, and strategies have the Scaling Apprenticeship and Closing the Skills Gap grantees designed or expanded?
- How have the grantees implemented the components, models, partnerships, and strategies?
- What components, models, partnerships, and strategies appear promising for supporting positive outcomes for apprentices, businesses, and systems?
- What typologies of apprenticeship emerge from the grant activities that might be replicable?

Across these questions, there are 11 priority topics for the implementation evaluation, all identified in the grant announcements:

1. Apprenticeship program characteristics

2. Implementation strategies, challenges, and promising practices

3. Systems strategies for apprenticeship expansion

4. Program components

5. Recruitment and enrollment strategies for apprentices and pre-apprentices

6. Completion strategies for apprentices and pre-apprentices

7. Strategies for increasing diversity in apprenticeship

8. Strategies for improving employment outcomes

9. Role of partnerships

10. Employer engagement

11. Program infrastructure and data collection

Table 1 below presents the detailed questions for each of these topics and identifies the data sources to be used to address each. These data sources include site visit interviews with grantees and partners (including employers), site visit focus groups with apprentices, web-based survey of all grantees, and grant documents. (Data sources are discussed in more detail later in this report.)

Conceptual Framework

The conceptual framework for the implementation evaluation is presented in figure 1 below. The framework identifies the **challenges and objectives** the grants seek to address—the needs of business and industry, workers, and state and local apprenticeship systems. It includes **resources** that may be used to support grant activities—the Scaling Apprenticeship and Closing the Skills Gap grants themselves, as well as other relevant national initiatives or existing state and local apprenticeship systems and partnerships. The framework also specifies program models and components of **apprenticeship programs** the grantees and their partners design and implement, and **strategies and partnerships** the grantees and partners use to expand apprenticeship. Finally, it includes the expected **short-term outcomes** (based on the performance measures in the grant announcements) and **long-term outcomes** for business and industry, apprentices, and state and local systems. The categories of information in the framework represent the items included in the data collection instruments.

TABLE 1

Implementation Evaluation Research Questions and Data Sources

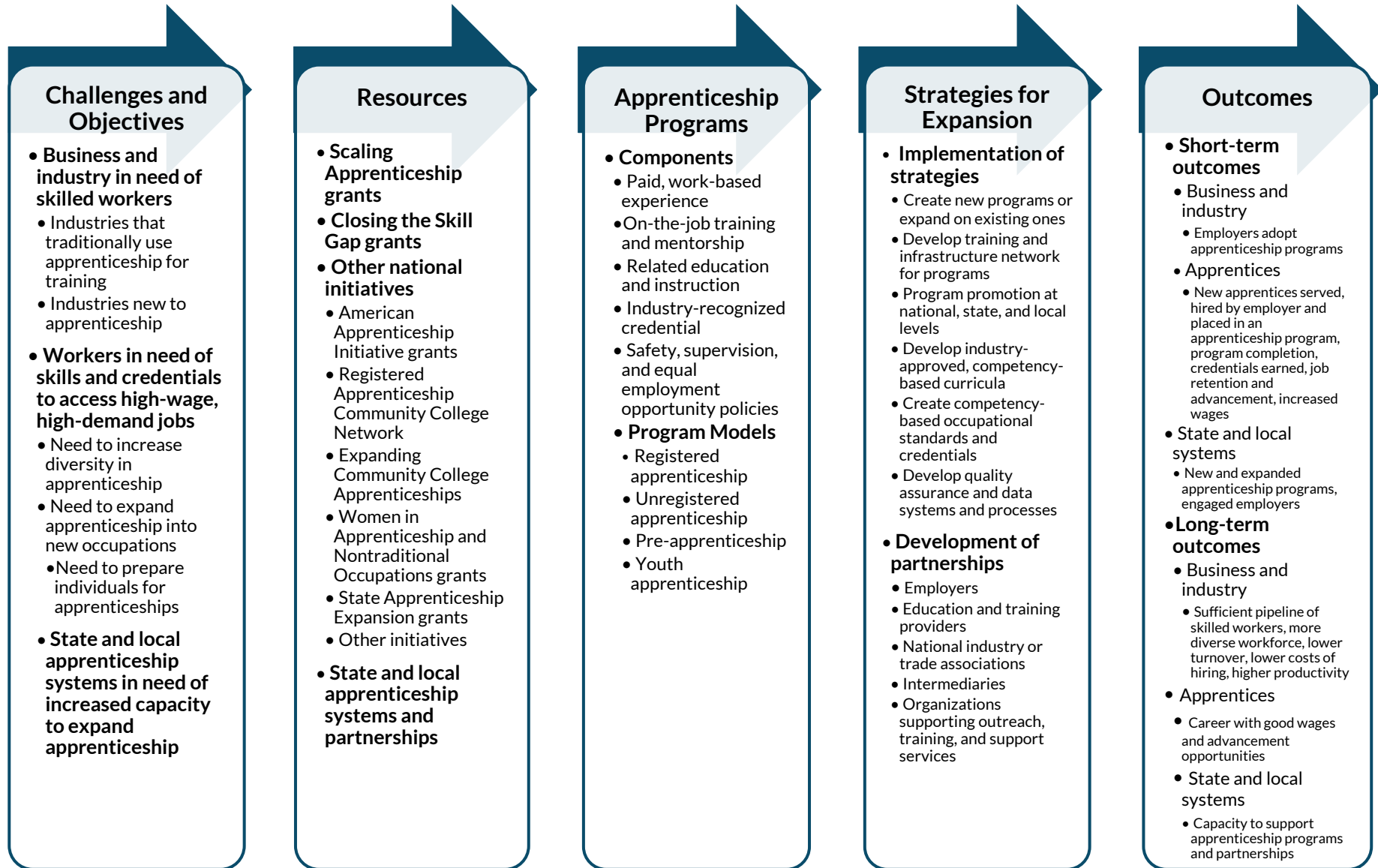| Implementation evaluation research questions	Interviews with grantees and partners (including employers)	Focus groups with apprentices	Web-based survey of all grantees	Grant documents
1. Apprenticeship Program Characteristics: Which program models by industry sector, occupation, and type of companies appeared to be the most promising for expanding apprenticeships, and why? Were they new apprenticeship programs, or did they expand existing programs? Were they industry-recognized apprenticeship programs and/or registered? What types of program components, or combinations of components, did grantees and their partners design and implement in the apprenticeship programs?	X		X	X
2. Implementation Strategies, Challenges and Promising Practices: How did grantees and their partners develop and implement sector-based strategies implemented to build and/or scale up apprenticeship programs? What factors influenced each type of partner in the design and implementation of the strategies? What partners were involved in the design or implementation of the strategies? What challenges did grantees and their partners face in implementation, and how were those challenges overcome? What implementation practices appear promising for replication?	X		X	X
3. Systems Strategies for Apprenticeship Expansion: What systems and processes were implemented or enhanced to help simplify program development and reduce program start-up times and costs? Were grantees able to make it easier for employers to deploy the programs at scale, and promote program consistency and quality? Were they able to facilitate industry-wide acceptance of the apprenticeship models being deployed? What types of strategies and approaches were implemented or taken to scale, and what policy changes were developed and implemented that led to systems change?	X		X	X
4. Related Education/Instruction and Work-Based Training Strategies: What education/instruction and work-based experiences for the apprentices did grantees develop or enhance? How were they implemented? What industry-approved, including competency-based, curricula were developed for both on-the-job and related technical instruction/classroom training? What types of credentials did grantees develop or enhance? How did partners contribute to the development of curricula and credentials?	X	X	X	X

Implementation evaluation research questions	Interviews with grantees and partners (including employers)	Focus groups with apprentices	Web-based survey of all grantees	Grant documents
5. Recruitment and Enrollment Strategies for Apprenticeships/Pre-Apprenticeships: What were the promising strategies that grantees and their partners used for recruiting individuals into apprenticeship and pre-apprenticeship programs, and for whom? How did partners support recruitment? How did the enrollment process work? What eligibility requirements did programs use for enrolling apprentices?	X	X	X	X
5. Completion Strategies for Apprenticeships/Pre-Apprenticeships: What were the promising strategies that grantees and their partners used to support retention and completion of apprenticeship and pre-apprenticeship programs, and for whom? What supportive services were provided to help apprentices participate in and complete an apprenticeship program? How did partners support retention and completion? What credentials did apprentices earn during their apprenticeship?	X	X	X	X
6. Strategies for Increasing Apprentice Diversity: What are promising strategies for enhancing existing or building new apprenticeship models to better serve, recruit, and retain individuals typically underserved, such as veterans, military spouses, transitioning service members, individuals with disabilities, women, low-income individuals, harder-to-serve populations, people of color, ex-offenders, and other underrepresented populations? How did strategies differ by group?	X	X	X	X
7. Strategies for Improving Employment Outcomes: What were promising strategies for improving individuals' employment outcomes? What promising strategies are used to improve apprentices' career advancement prospects, particularly from middle- to high-skilled jobs? Do they differ for specific populations, such as veterans, military spouses, transitioning service members, individuals with disabilities, women, low-income individuals, harder-to-serve populations, people of color, ex-offenders, and other underrepresented populations?	X	X	X	X
8. Role of Partnerships: How were partnerships built and maintained? What factors influenced the development and maintenance of the partnerships? Did partnerships change or evolve over time, and if so, how and why? What were grantees and partners' perceptions of the successes and challenges of the partnerships?	X		X	X

Implementation evaluation research questions	Interviews with grantees and partners (including employers)	Focus groups with apprentices	Web-based survey of all grantees	Grant documents
9. Employer Engagement: What type of assistance was provided to increase employer engagement? How did implementation vary by employer characteristics, such as industry, type, size? What were the reasons employers chose to either invest in a new apprenticeship program or expand their existing apprenticeship program? What types of outreach were used to engage employers, and did outreach differ by industry? What role did sponsors and third parties contribute to engaging employers? What role did sponsors and other third parties contribute to engaging apprentices? Did they offer incentives to employers and apprentices? If so, what were they and for what purposes? Did the incentives seem to achieve their objectives? How so? How did employers contribute to the development and implementation of programs and strategies?	X		X	X
10. Program Infrastructure and Data Collection: What were the characteristics of program infrastructure, quality assurance, data management, and technical assistance prior to the grant? How did the grantees and their partners improve these systems? What strategies were successful? What challenges emerged? What metrics and data did grantees and partners use to define and measure success of the apprenticeship programs? How did they use the metrics and data for continuous improvement?	X		X	X

Source: Author's analyis.

FIGURE 1

Conceptual Framework for Documenting and Assessing the Implementation of the Scaling

Challenges and Objectives

- **Business and industry in need of skilled workers**
  - Industries that traditionally use apprenticeship for training
  - Industries new to apprenticeship
- **Workers in need of skills and credentials to access high-wage, high-demand jobs**
  - Need to increase diversity in apprenticeship
  - Need to expand apprenticeship into new occupations
  - Need to prepare individuals for apprenticeships
- **State and local apprenticeship systems in need of increased capacity to expand apprenticeship**

Resources

- **Scaling Apprenticeship grants**
- **Closing the Skill Gap grants**
- **Other national initiatives**
  - American Apprenticeship Initiative grants
  - Registered Apprenticeship Community College Network
  - Expanding Community College Apprenticeships
  - Women in Apprenticeship and Nontraditional Occupations grants
  - State Apprenticeship Expansion grants
  - Other initiatives
- **State and local apprenticeship systems and partnerships**

Apprenticeship Programs

- **Components**
  - Paid, work-based experience
  - On-the-job training and mentorship
  - Related education and instruction
  - Industry-recognized credential
  - Safety, supervision, and equal employment opportunity policies
- **Program Models**
  - Registered apprenticeship
  - Unregistered apprenticeship
  - Pre-apprenticeship
  - Youth apprenticeship

Strategies for Expansion

- **Implementation of strategies**
  - Create new programs or expand on existing ones
  - Develop training and infrastructure network for programs
  - Program promotion at national, state, and local levels
  - Develop industry-approved, competency-based curricula
  - Create competency-based occupational standards and credentials
  - Develop quality assurance and data systems and processes
- **Development of partnerships**
  - Employers
  - Education and training providers
  - National industry or trade associations
  - Intermediaries
  - Organizations supporting outreach, training, and support services

Outcomes

- **Short-term outcomes**
  - Business and industry
    - Employers adopt apprenticeship programs
  - Apprentices
    - New apprentices served, hired by employer and placed in an apprenticeship program, program completion, credentials earned, job retention and advancement, increased wages
  - State and local systems
    - New and expanded apprenticeship programs, engaged employers
- **Long-term outcomes**
  - Business and industry
    - Sufficient pipeline of skilled workers, more diverse workforce, lower turnover, lower costs of hiring, higher productivity
  - Apprentices
    - Career with good wages and advancement opportunities
  - State and local systems
    - Capacity to support apprenticeship programs and partnerships

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Source: Author's analysis.

Apprenticeship and Closing the Skills Gap Grants

Methods

To address the range of research questions, the evaluation relies on formal implementation analysis as it has evolved in the methodological literature and as part of program evaluation. This involves examining how and why policies and programs operate and perform as they do; the factors that influence program structure, organization, and management; and the perceived effects these factors have on outcomes (Holcomb and Nightingale 2003). To address the research questions and examine these factors, the evaluation of the Scaling Apprenticeship and Closing the Skills Gap grants will document and assess the implementation of the grants from multiple perspectives—grantees, partners (including employers), and apprentices.

In addition, the implementation evaluation will identify emerging typologies of apprenticeship. To do this, the team will use the survey and site visit data to understand the various combinations of components, programs, partnerships, and strategies that grantees implemented and for which industries and target populations. The team will implement a cluster analysis using the survey data to explore which combinations are more likely to be implemented together. They will then use the site visit data to describe the typologies in more detail and provide examples for illustration.

The main sources of data for the implementation evaluation are a web-based grantee survey, interviews with grantees and partners (including employers), and focus groups of apprentices. The data collected will be supplemented with grant documents, such as the grant applications, and quarterly narrative and performance reports submitted to DOL. The next chapter describes our data sources in detail.

Data Sources

To answer the research questions, the project team will collect data from leaders and staff representing the Scaling Apprenticeship and Closing the Skill Gap grantees and their partners as well as apprentices enrolled in programs created or expanded through the grants. The team will conduct two primary data collection activities: (1) interviews and focus groups with the staff, partners (including employers), and apprentices of 18 selected grantees; and (2) a web-based survey of all 51 grantees. They will also use secondary data sources (e.g., grantee reporting) to inform the site visits and interpret findings. This chapter describes the data collection activities and the review of grant documents.

Interviews and Focus Groups with Selected Grantees

The project team will conduct interviews with staff and partners and focus groups of apprentices of 18 selected grantees (comprised of nine Scaling Apprenticeship and nine Closing the Skills Gap grantees). Each interview and focus group will provide an opportunity to learn about the implementation of grant activities across an expansive group of grantee and partner staff, allowing for a range of perspectives on how grants are currently structured and operate at the grantee and program levels. We will examine

- apprenticeship models, components, partnerships, and strategies in high-growth occupations and industries,
- strategies for developing new or enhancing existing apprenticeship programs,
- strategies for expansion of apprentices and for targeting underserved populations, and
- providing a deeper understanding of new and expanded strategies to help explain what works, why, and for whom.

We expect interviews and focus groups will occur mainly, if not completely, through phone or videoconferencing. The exact timing of data collection will be determined in close collaboration with DOL and the Technical Working Group (TWG).

The project team will assign a two-person team to each grantee. The two-person teams will conduct all staff and partner interviews and the apprentice focus group for the assigned grantee. The two-person teams will tailor the interview questions (i.e., not all questions will be asked of every respondents) based on the roles of different types of respondents and a review of the grantee documents, such as the grant application and quarterly narrative reports.

Respondent types include the following:

1. Administrators and staff from the **grantee** organizations

2. **Partners**, such as employers, industry and trade associations, community colleges or other related training instruction providers, the public workforce system, community organizations, etc.

3. **Apprentices** (including apprentices in registered and unregistered programs and pre-apprentices)

The respondents may have various roles for the grant activities such as sponsor, instructor, curriculum developer, adviser, recruiter (for employers and apprentices), and support service provider.

The general topics to be covered during interviews with grantees, partners, and apprentices are identified above under Research Questions. The discussion guides for (1) grantee administrators and staff, (2) partnering organizations and employers, and (3) apprentices appear in appendices A, B, and C. The remainder of this section discusses the plan for conducting the interviews and focus groups.

Grantee Selection

Working closely with DOL, the project team will purposively select the 18 grantees for the site visits.[7] The team will select states to ensure variation in

- grant type, with **nine visits to Scaling Apprenticeship grants and nine to Closing the Skills Gap grants**,
- apprenticeship models used (registered apprenticeship, unregistered apprenticeship, and pre-apprenticeship),
- industry and occupational focus of the grant,
- program size, based on the size of the grant and the number of apprentices to be served (giving those serving larger numbers of apprentices greater weight),
- target populations to be served (especially those targeting underserved groups),
- geographic area served by the grant, and
- inclusion in the impact evaluation (giving those grantees included in the impact evaluation greater weight).

While the team will select grantees that will allow for a range of experiences and strategies implemented, we will also prioritize grantees that are included in the impact evaluation. This will allow

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[7] Other selection strategies are also available including stratified random sampling, but with the web-based survey being conducted with all grantees and DOL's emphasis on learning about innovative and best practices, purposive selection of grantees is most likely. All possible approaches will be discussed with DOL and TWG during the design phase for the implementation evaluation.

for detailed information about some of the impact evaluation sites to support interpreting the impact results.

We will submit a memo to DOL identifying the 18 grantees selected for visits, along with a list of 8 to 10 alternates, should recommended grantees have to be replaced.

Activities prior to Data Collection

The two-person teams will conduct the interviews and focus groups for each grantee using either video conference or phone. All team members will participate in a training session held before the data collection, during which the implementation team leaders will review the following:

- Purposes of the data collection
- How to hold conversations with lead grantee staff to coordinate interviews with staff and partners and if a focus group or small group interview of apprentices is appropriate
- Specific individuals to be interviewed
- Topics in the discussion guides for grantee staff, partners, and apprentices[8]
- Procedures for conducting the interviews and focus groups virtually and in-person (depending on conditions due to the pandemic)
- Procedures for cleaning notes and developing the grantee summary

We will hold interviews and focus groups by videoconference (preferable) or by phone (less preferable) over a limited period (two weeks or less). The project team will tailor the training for the two-person teams so clear guidelines and procedures are in place for the data collection mode used.

Prior to the start of data collection, the DOL federal project officers will send an email notifying each grantee that they have been selected to be part of the evaluation. (Grantees are required to participate in DOL national evaluations as part of grant requirements.) Once grantees have been notified, the two-person teams assigned to each grantee will send a follow-up (introductory) email and then call the grantee contact persons to identify which grantee and partner administrators or staff will participate in the interviews and to begin the process of scheduling them. The teams will work with both grantee and partner organizations (including at least one employer) directly on scheduling. The teams will focus on interviews with the grantee staff first to gain the overall picture of the grant activities, and then interview the partners about their specific roles.

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[8] See appendices A, B, and C for the site visit discussion guides.

As part of the planning process, the two-person teams will identify general types of roles and responsibilities for individuals to be interviewed. The mix could vary considerably across grantees and partners based on program size, structure, and types of apprenticeship programs funded. Prior to the start of data collection with each grantee, the two-person teams will review the grant application, quarterly reports, and any other available background about the grant activities (such as grantee websites).

At nine grantees, with the assistance of the grantee and partners, the teams will schedule a virtual focus group with apprentices enrolled in grant-funded programs. The teams will work closely with the grantee or partner staff (depending on who is operating the program) to organize the focus groups. They will provide outreach and recruitment materials to the program contact to recruit apprentices to serve as focus group participants and work with the program contact to determine the time for the focus group. The teams will recruit between 10 to 12 apprentices with the goal of having 5 to 8 attend the focus group. Instructions for joining the focus group and a reminder will be emailed or texted to participants ahead of time.

Activities during Data Collection

The two-person teams will conduct one-hour interviews with grantee staff and partners for 18 grantees and 1.5-hour focus groups with apprentices for 9 grantees. The two-person team will have a senior member leading the interviews and a junior member taking notes, asking for clarifications and follow-up, and keeping track of time. For each grantee, the teams will interview approximately one to two grantee staff and staff at up to three partner organizations (with at least one being an employer). The teams will also work with the grantee and partners to recruit for focus groups of seven to eight apprentices in grant-funded programs at nine grantees.

At the start of each interview and focus group, the senior team member will provide an introduction of the team and the evaluation using the language in the discussion guide. They will then read the informed consent, answer any questions from the respondents, and obtain verbal consent for interviews and written consent for focus groups. The teams will ask respondents if we can record the interview or focus group to ensure the accuracy of our notes.

The senior team member will then begin asking questions in the discussion guide. For the interviews, the team will review grantee documents and tailor questions to the design of grant activities and existing knowledge to be as efficient as possible with the respondents' time. The guides include the range of possible questions, and the teams should not expect to ask every question of each respondent.

The interviews will be semistructured, and the respondents may not address topics and questions in the order that is in the guide. The senior team member must be prepared to come back to topics and ensure that all relevant questions are asked.

For the focus groups, the senior team member will facilitate the discussion, touching on each of the questions. Each focus group will cover topics such as how apprentices heard about the apprenticeship program they are attending; why they decided to participate; views on the duration and structure of the apprenticeship program, including perspectives on the related education and training instruction and on-the-job training; specific ways in which attending the apprenticeship program helped to improve skills, credentials, and employment, and to increase job responsibilities and wages; and what apprentices like most and least about their programs, as well as recommendations on how the apprenticeship program might be improved. With focus groups, we know that participants may have more or less to say about various aspects of their program experiences. The senior team member will also facilitate the discussion to give opportunities for all participants to provide comments.

VIRTUAL DATA COLLECTION

For virtual interviews, the two-person teams will use the mode of communication the respondent is most comfortable with—phone or videoconferencing. We have multiple videoconferencing platforms to address respondents' security restrictions or preferences. The teams will be trained on these platforms to ensure settings during the videoconference call meet the respondents' security needs and preferences. The team will also have a backup platform available, another videoconferencing platform or phone, should technological issues occur, and the team and respondent need to quickly transition to another mode.

The team plans to conduct virtual focus groups if needed. The Urban Institute's Institutional Research Board has developed guidelines for conducting virtual focus groups, which our teams will adhere to. The project team will send consent language to participants by email ahead several days ahead of the focus group to review and ask any questions. The focus group facilitator will go over this consent at the beginning of the session and secure individual verbal consent. We will work closely with the program staff on the logistics and recruitment for a virtual focus group session and anticipate any challenges that the team can address. Similar efforts to the interview will be needed to have a backup mode for the focus groups should technology challenges occur.

With virtual interviews, the need to confine the interviews to three consecutive days as for an in-person visit is unnecessary. However, there is some advantage to constraining data collection for one

grantee to a limited period. It helps to ensure the teams can clean notes and draft grantee summaries prior to moving on to the next grantee. For this data collection effort, we will require a two-week window for data collection for each grantee. The teams will need to follow up with respondents with a list of documents discussed in the interview to request they be sent electronically.

Activities after Data Collection

Following each site visit, site visit teams will clean the detailed interview notes and produce a summary of each site visit that highlights key features of the grant and begins to draw themes to facilitate the analysis. The site summaries will be shared with the impact evaluation team to support the interpretation of the findings. The site visit teams will also send thank you notes to all the grantees and partners who participated in interviews.

Web-Based Survey of Grantees

The web-based survey will include all grantees (the 23 Scaling Apprenticeship and 28 Closing the Skills Gap Programs). The survey will provide the breadth of knowledge needed to systematically understand how grantees have structured and implemented their apprenticeship initiatives. The survey will take approximately 90 minutes for grantee staff to complete based on the length and detail of the questions. The project team anticipates fielding the web-based survey to all grantees in the fall of 2021 after receiving OMB approval. As many of the grantees are community colleges, the fall semester is the best time to reach these respondents. Any later and it may be more difficult to reach them in the winter. This section describes our approach to conducting the survey. The draft survey instrument is attached in appendix D.

Survey Topics

The survey is designed to address the research questions in table 1 but follow a more logical flow for grantees:

- Basic information about your grant and progress to date in achieving grant goals
- Program context
- Employer recruitment and engagement under the grant
- Policy changes, program structures, and expansion strategies
- Apprentice target population, recruitment, and intake
- Related technical instruction

- On-the-job training
- Supportive services
- Partnering organizations
- Pre-apprenticeship (for Scaling Apprenticeship grants only)
- Sustainability plans and lessons learned

The survey questions are mostly multiple choice and closed-ended but there are some open-ended questions to give respondents a chance to provide additional context to their answers. In addition, the questions provide respondents with the option to choose "other" and add a response so the team can capture the full range of activities implemented by grantees.

Design and Pilot Testing of the Survey Instrument

The project team will use the software program Qualtrics for programming and administering the survey. This survey software offers a user interface that is modern, secure, and easy to navigate for respondents. It allows for easy follow-up communications with respondents to increase the response rate. The software will also facilitate generating tabulations of responses as surveys are completed by grantees and processed.

Prior to full-scale implementation of the survey, the team will pilot test the survey with up to three grantees to ensure that the instrument (and each question) is clearly written and understandable to respondents, offers respondents a complete and understandable listing of response categories for each closed-ended question, and tests our initial time estimates for completion.[9] Following the pilot test, the team will make any needed changes to the instrument, web-based application, or survey procedures.

Survey Administration

Prior to fielding the survey, the project team will ask a representative of CEO or Office of Apprenticeship to email all grantee agencies to notify them of the survey effort and provide details about the purpose and format of the survey, general instructions on how to access and complete the survey and contact information should the grantee have questions about the survey. The project team will provide sample text for this letter or email to DOL in advance for dissemination to grantees.

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[9] Those grantees pilot testing the survey will be asked to comment on the clarity of the questions, suggest additional questions, identify questions for deletion or revision, and rate the ease of use of the web-based application.

On the scheduled date for releasing the survey, the project team will email the grantee contact with a link to the survey and instructions for survey completion. With the web-based application, the project team will be able to track which grantees have started the survey and monitor their progress and follow up with grantees that have not started or completed the survey by a certain date. Respondents will be able to share the survey with others involved in grant activities if needed to complete it. Additionally, respondents will be able to work on and save responses to specific questions in the survey at any time, so that it is possible for respondents to complete the survey incrementally (i.e., skip parts of the survey and come back later to complete them).

Grantees will have six weeks to respond to the survey. Grantees will submit one survey response. With four weeks remaining in the survey period, the project team will send an electronic reminder of the due date for the survey and an offer of technical support for any states having difficulty completing it. We expect to have a 100-percent response rate as the grantees are required to participate in DOL-sponsored evaluation activities.

Any quality control errors or omissions in survey responses will be resolved via email or telephone contact by the project team with the grantee's survey respondent. Additionally, it will be possible to easily review responses to open-ended questions across all grantees, and, if necessary, to follow-up with the respondent if the open-ended answer is unclear. The project team will follow up with each grantee that has not submitted a survey instrument by the due date to encourage them to complete the survey.

The team will clean and finalize the raw data to prepare for the analysis. They will clean and code variables to prepare the analysis file. The team will also prepare documentation and a codebook for the analysis. Finally, they will tabulate responses to each survey question (i.e., absolute and relative frequency) to look at basic statistics such as mean, median, minimum, maximum, and frequencies, depending on the question type.

Grantee Documents

Grant documents—applications and quarterly narrative and performance reports—will be used to support the implementation evaluation. These documents will inform site visit selection and help prepare site visit teams for interviews. They will also provide important context to the implementation analysis of the extent to which grant projects are being implemented according to plan. The team has already reviewed the grant applications while conducting the evaluability assessment, but it will also

use the applications to prepare for the site visits and inform our analysis. The quarterly reports provide valuable information on financial data and grant activities that are not being collected through other data collection activities. The quarterly performance reports include aggregate data on apprentice demographics, participation in grant activities, and outcomes.

Analysis and Reporting

This chapter describes our analysis and reporting efforts to share the findings from the implementation evaluation.

Analysis

Data collection will generate a considerable volume of data—the survey, site visit data (interview notes and focus group transcripts), and grant documents—that the project team will need to analyze to address the research questions for the implementation evaluation. We anticipate two analytical tasks—a descriptive analysis and a thematic analysis.

Descriptive Analysis

The descriptive analysis will provide a comprehensive picture of the components, models, partnerships, and strategies implemented by the 23 Scaling Apprenticeship and 28 Closing the Skills Gap grants.[10] It will use data from the web-based survey and information gleaned from the review and extraction of all grantee applications, and where possible, supplemented by other data grantee performance reporting to create an analysis file. The team will first develop descriptive univariate tabulations of the survey data. They will then produce selected crosstabulations, especially to look at variation across industries, target populations, and program models.[11] The analysis will also be aligned with the detailed research question topics discussed earlier.

The descriptive analysis will focus on taking the large amounts of information collected in the survey and presenting it in visual formats that allow readers to quickly grasp the range of programs and activities. The analysis will include tables, charts, and graphs to illustrate key findings, and the team will provide full sets of survey data tables as appendices to the final report.

The team also plans to use the survey data to conduct a cluster analysis to explore emerging typologies of apprenticeship.[12] The cluster analysis is designed to group a set of objects (a "cluster") in such a way that objects in the same group are more similar to each other than to those in other groups.

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[10] This analysis will address the main research question: What apprenticeship components, models, partnerships, and strategies have the Scaling Apprenticeship and Closing the Skills Gap grantees designed or expanded?

[11] These crosstabulations will be specified in more detail in the analysis plan.

[12] This analysis will begin to address the main research question: What typologies of apprenticeship emerge from the grant activities that might be replicable?

Using the cluster analysis, the team will identify the most likely groupings of components, models, partnerships, and strategies implemented by grantees and for which industries and target populations.

The team will use the survey data to identify program features that can be used in the impact evaluation to analyze how impacts vary across program features or types. The team will create an analysis file with program features for the grantees included in the impact evaluation.[13]

Thematic Analysis

The team will also conduct a thematic analysis of the interview and focus group data from the 18 grantees visited to provide an in-depth understanding of the implementation of components, models, partnerships, and strategies and highlight promising approaches to apprenticeship.[14] The coding and analysis approach will use "applied thematic analysis." The project team will employ this inductive approach through team coding and analysis meetings where site visit team members and coders discuss emerging themes to provide multiple perspectives, harmonize team coding, ensure analytical validity, and enrich the analysis.[15] The coding will also be aligned with the detailed research question topics discussed earlier.

The team will use analysis techniques to draw out themes and patterns across the grantees and types of respondents to ensure an understanding of the programs and services from all perspectives. We will construct tables to organize qualitative data in a way that these patterns can be observed. The evaluation will highlight examples of innovative components, models, partnerships, and strategies to offer insight into particular phenomena, and will focus on key features that are relevant to the two grant programs. The team will then use the thematic analysis to describe the typologies more completely and identify grantees that align with these typologies.[16]

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[13] This process will be specified in more detail in the impact evaluation design report.

[14] This analysis will address two main research questions: (1) How have the grantees implemented the components, models, partnerships, and strategies? and (2) What components, models, partnerships, and strategies appear promising for supporting positive outcomes for apprentices, business, and systems?

[15] The team will determine the appropriate analysis tool for coding the notes, whether it is a qualitative statistical package such as NVivo or use of Microsoft Excel spreadsheets to be able to sort and analyze data in the analysis plan.

[16] This analysis will further address the main research question: What typologies of apprenticeship emerge from the grant activities that might be replicable?

Reporting

The project team will produce a final report on the implementation evaluation and its findings, which will include:

- An executive summary that provides the highlights of the evaluation and its findings
- An overview of the grant initiatives and evaluation design
- Findings based on the detailed research question topics
- Discussion of apprenticeship typologies that emerge from the findings
- Conclusions and implications for future initiatives

The report will be visually appealing and appropriate for technical and nontechnical audiences. It will use graphs, charts, and other visuals to present data in a summary fashion. In addition, it will include a summary of findings at the beginning of each chapter and subheadings will be written as findings so key points are evident throughout the report.

Schedule

The data collection, analysis, and reporting schedule for the implementation evaluation is as follows:

Activity or Deliverable	Dates
Site Selection Memo	March 2022
Analysis Plan	October 2022
Site Visits	October 2022–August 2023
Updated Analysis Plan (if needed)	April 2023
Grantee Survey	March–July 2023
Analysis	June 2023–November 2023
Final Report Draft	February 2024
Special Topics Briefs	To be determined

Appendix A. Grantee Discussion Guide

Apprenticeship Evidence-Building Portfolio
Scaling Apprenticeships through Sector-Based Strategies Grants and Closing the Skills Gap Grants
Grant Administrator and Staff Discussion Guide

INTRODUCTION

I am/we are researchers with The Urban Institute/Mathematica/Capital Research Corporation, private research organizations based in Washington, DC/Arlington VA which conduct policy-related research on a variety of social welfare and economic issues.

This project is being conducted under contract to the U.S. Department of Labor. Our visit here today is part of the Apprenticeship Evidence-Building Portfolio project, a national study sponsored by the U.S. Department of Labor. The study will learn how apprenticeship programs can help improve the skills and employment outcomes of American workers. A major aim of the study is to learn more about the different models of apprenticeship being implemented. In each grantee we visit, we will be speaking with grant administrators and staff, program partners (including employers), and apprentices.

Privacy Statement: I/we want to thank you for agreeing to participate in the study. I/we know that you are busy and we will be as focused as possible and will only ask questions that are relevant to your experience. We have many questions and will be talking to many different people, so please do not feel as though we expect you to be able to answer every question. Your participation in this interview is voluntary and you may choose not to answer some or any of our questions.
We believe the risks of participating in this study are minimal.

We believe there are no direct benefits to you, but we hope that the findings from this study will benefit the Apprenticeship Evidence-Building Portfolio project by providing research insights on how apprenticeship programs can benefit workers.

My colleague and I will be taking notes in order to document what we hear during our discussion, and we may record this discussion. We do not share these notes with anyone outside of our research team, including Department of Labor, and we will destroy these notes after the end of our project. When we compile our reports, the names of individual respondents will not be included. **When we compile our reports, the names of individual respondents will not be included.** If we choose to quote you, you will only be identified by your title. You will not be quoted directly by name in any of our reports. While it is possible that you might be identified by your title, we will do our best to minimize the chance of that occurring.

Finally, to help us accurately capture the information you share, we would like to record this interview. The recording is just a back-up for our notes and will be kept within our small research team. The interview recording will be deleted once we have developed a full set of notes from the interview.

OMB Burden Statement: According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays an Office of Management and Budget (OMB) control number. The valid OMB control number for this information collection is XXXX-XXXX. The time required to complete this collection of information is estimated to average 60 minutes, including the time to review instructions, search existing data resources, gather the data needed and complete and review the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Chiefevaluationoffice@DOL.gov and reference the OMB Control Number XXXX-0NEW.

Do you have any questions before we begin?

[If we decide to record the interview] Are you okay with us recording the interview to improve the accuracy of our notes?
Do I have your permission to begin the interview? [BEGIN INTERVIEW IF CONSENT GRANTED]

Note: Document the following information for each respondent:
- *Name, title and organization/affiliation*
- *Role in the grant program and other organization roles*
- *Length of involvement with the organization and with the program*

A. **BASIC GRANT INFORMATION**
1. Verify with the respondent the following background information about the grant. *[Note: Collect and pre-fill this information prior to the visit from the grant application or other available documentation and verify with the respondent.]*
   a. Original grant period: _____to_____
   b. Modified grant period *(if applicable)*: _____ to _____
   c. Does your grant include the following types of apprenticeships?:
      i.   ___Registered Apprenticeship
      ii.   ___Unregistered apprenticeship
      iii. ___Pre-apprenticeship [*Allowable Activity for Scaling grantees only*]
   d. For registered/unregistered apprenticeship programs, please identify the following:
      i.   Industries targeted:
      ii.   Occupations targeted:
   e. For pre-apprenticeship program component, please identify the following: *[Allowable Activity for Scaling grantees only]*
      i.   Industries targeted:
      ii.   Occupations targeted:
2. What is your organization's previous experience with apprenticeships (prior to receipt of the grant)?
3. Have there been any modifications under your grant (e.g., scope of work, budget, performance period, etc.)? If yes, please briefly describe.

B. **ENVIRONMENTAL CONTEXT**
1. What geographic area does your grant serve, including by grantee and various partners (e.g., identify specific states, counties or regions served])? *[Note: Collect information prior to the visit and verify during interview.]*
2. What are the key demographic characteristics of the population and other distinguishing features of the geographic area served under the grant? [Probe for: large numbers of unemployed/incumbent workers in need of training, aging skilled workforce nearing retirement]
3. What is the economic environment and context for the area served under the grant? [Probe for: growth industries, extent to which industries rely on apprenticeship; industries that are most likely to feature apprenticeships/pre-apprenticeships; economic conditions such as job openings in sectors/occupations that are focus of grant]
4. What was the apprenticeship "infrastructure" like in the geographic area served prior to grant and extent of linkages of grantee/partners to apprenticeships? [Probe for: established relationships with apprenticeship programs, state apprenticeship agencies, apprenticeship intermediaries, industry associations, unions, schools, American Job Centers, and employers]
5. What was the extent to which registered and unregistered apprenticeship and pre-apprenticeship opportunities are available, and in which industry sectors/occupations in the area served, prior to the grant?
6. To what extent is there overlap/linkage between this grant-funded project (e.g., the Closing the Skills Gap or Scaling Apprenticeships grants) and other initiatives? [Probe for: other DOL apprenticeship grant initiatives; other DOL training initiatives (e.g., America's Promise, Ready

to Work, Strengthening Working Families Initiative, Tech Hire, TAACCCT grants); and any other apprenticeship initiatives besides DOL investments]

7. To what extent has the COVID-19 pandemic impacted the implementation or outcomes of your grant activities?

8. Are there any other factors since the start of your grant that have affected the programs' ability to recruit participants or employers, as well as ability of apprentices to complete training and find employment? [Probe for: in- or out-migration of major employers, major layoffs, base closings, natural disasters]

C. GRANT ORGANIZATIONAL STRUCTURE AND KEY PARTNERS

1. Please provide an overall description of the organizational structure of the grant. *[Note: request organizational diagram if one is available.]*

2. For the grantee, who are the key staff and their roles under the grant?
   a. Number and position/title of staff funded under grant (including percent of effort for each grantee staff person)
   b. Staff role performed under the grant

3. Are any grants funds supporting other partners other than employers (who are discussed in detail later in this interview)? For each organization, please discuss: name and type of the organization, amount of subgrant/funding, role and key services delivered under the grant, whether partner is meeting expectations or are any challenges in engaging this organization, and the benefits of the partnership. [Probe for potential roles:
   a. Outreach, recruiting, or referring individuals for placement in apprenticeships
   b. Conducting employer outreach/engagement
   c. Helping with apprenticeship program or curriculum design
   d. Serving as an apprenticeship sponsor
   e. Serving as a pre-apprenticeship sponsor
   f. Serving as a related training instruction provider
   g. Providing support services for apprentices]

4. For partners not receiving any grant funds, who are the other key partnering organizations? For each key partner, please discuss: name and type of the organization, role and key services being provided under the grant, whether partner is meeting expectations and any challenges in engaging the partner, and benefits of the partnership. [See list of probes in C3]

5. How did these partners collaborate during the grant? What were the main ways in which they collaborated and to what end?

6. Did the grantee or partners experience start-up or early implementation issues (e.g., difficulties hiring staff, problems engaging partners, lack of employer interest/engagement, lack of potential participant interest, external (environmental) factors? Please discuss each challenge, including how it affected grant implementation, if and how the challenges were overcome.

7. How did partnerships evolve or change over the course of the grant?

D. POLICY CHANGES, PROGRAM INFRASTRUCTURE AND DATA COLLECTION/USE

1. Have you developed and implemented any policy or procedural changes to support apprenticeship expansion as a part of or as a result the grant? What are they intended to do? Have they worked as intended? How so or not? [Probe for:
   a. State or local legislation
   b. State or local policy guidance
   c. Increased state or local government funding
   d. Enrollment policy changes at a community college
   e. Credit or articulation policy changes at a community college (e.g., credit for prior learning)
   f. Policies/procedures on apprentice safety
   g. Policies/procedures on apprentice supervision
   h. Policies/procedures on equal employment opportunity for apprentices

<ol start="1" type="i">
Policies on other aspects of apprenticeship (e.g., wage progression or employer incentives)]

<ol start="2">
What systems and processes were implemented or enhanced to help simplify program development and reduce program start-up times and costs for registered apprenticeship programs? Have these systems or processes made it easier for employers to deploy the program(s) at scale? Have they been able to promote program consistency and quality? If yes, how so?
Have you developed new or enhanced apprenticeship standards for the registered apprenticeship programs implemented under your grant? If yes, for which programs/industries? Please describe how they were developed and deployed.
Have you developed new or enhanced industry-approved/recognized credentials for the apprenticeship programs implemented under your grant? If yes, which ones? Please describe how they were developed and deployed.
Have you developed new or enhanced existing curriculum for the apprenticeship programs implemented under your grant? If yes, which ones? Please describe how they were developed and deployed.
Have you implemented strategies to facilitate industry-wide acceptance of the apprenticeship model(s) being deployed? How has your organization and partners been promoting apprenticeship? If so, please describe these activities. What have the successes and challenges been?
What quality assurance systems did you design and implement as a part of the grant? Did you build off of existing structures and systems? If yes, how so? How well have they ensured the quality of apprenticeship programs?
Did you offer technical assistance to your partners and apprenticeship sponsors? What did this entail? How did they respond to the technical assistance provided? Where they aspects they used more than others? Were there some aspects they didn't find helpful?
What data management systems did you implement for the grant? What metrics and data did grantees and partners use to define and measure success of the apprenticeship program? [Probe if they used others than the required performance measures for the grant.] How did you and your partners use the metrics and data for continuous improvement?

E. **TARGET POPULATIONS AND PARTICIPANT RECRUITMENT**

<ol start="1">
What populations and/or subpopulations have been targeted for recruitment (for apprenticeships) under the grant (i.e., by both the grantee and key partners)? Why have these populations/subpopulations been targeted? [Probe for:
<ol type="a">
Incumbent workers
Workers currently employed (but not at apprenticeship sponsor)
New entrants to the labor force
Unemployed, underemployed, long-term unemployed
Public workforce system clients
College students
High school students
Populations that may traditionally be underrepresented in apprenticeship, including:
<ol type="i">
Veterans
Military spouses
Transitioning service members
Women
People of color
People with disabilities
People previously involved in the justice system]

As the initiative has progressed, have there been any changes in special populations targeted? If so, what are they? Why?
Have employers provided input on the target population or admission criteria? Please describe

nature of input and specific criteria or requirements.
4. How has your organization and its partners marketed apprenticeships to prospective participants? [Probe for:
    a. Distribution of flyers, posters or other educational/informational
    b. Program staff outreach presentations or orientations held in the area served
    c. Informational websites
    d. Toll-free informational hotlines
    e. Outreach campaigns using media (e.g., PSAs, TV, radio, newspaper, ads on buses/bus shelters)
    f. Social media (e.g., LinkedIn, Facebook, Twitter, Instagram, etc.) – please specify, which types of social media are used and how
    g. Direct mail campaign
    h. Word-of-mouth
    i. Primary partners]
5. What organizations have provided referrals of prospective participants? Which organizations have provided the most referrals? Have any organizations fallen short of or exceeded original expectation for providing referrals? [Probe for:
    a. Employers
    b. Professional and industry organizations
    c. Unions
    d. Workforce system – American Job Centers, Employment Service, and WIOA
    e. Local Education Agencies (LEAs), such as the local public school system
    f. Re-engagement centers (i.e., to link youth that have dropped out of school back to school or other types of training)
    g. Community colleges and other educational institutions including proprietary schools
    h. Courts/correctional system/juvenile justice/probation officers
    i. Faith-based and community-based organizations
    j. Other public and non-profit human service agencies]
6. What other programs or services do your referral sources offer? If there were no apprenticeship program, what else might these applicants have access to?
7. Where can individuals apply for your apprenticeship programs? [Probe for:
    a. Employers
    b. Community college
    c. Your organization
    d. Union/labor organization
    e. Another intermediary
    f. Pre-apprenticeship program
    g. American Job Center]
8. How successful have you and your partners been in recruiting participants? Have you been successful in reaching and recruiting your target populations? Have some been easier to reach and recruit than others? Have there been more applicants than the apprenticeship programs under the grant can serve (e.g., is there a waiting list to get into the program) or less?
9. What strategies have you used to recruit individuals from groups who are underserved by apprenticeship programs, such as women, Black/African American and Latinx/Hispanic youth, out-of-school youth, veterans, people with disabilities, etc.)? Which groups have you been successful with and with which groups have you been unsuccessful? Which strategies seem successful or not?
10. Have there been recruitment challenges? If so, what challenges have been encountered and how have they been addressed? [Probe for:
    a. COVID pandemic
    b. Have difficulty finding eligible participants
    c. Many who applied have insufficient basic skill levels

d. Some applicants are not interested or motivated to participate in apprenticeship
e. Apprenticeship period is too lengthy for some applicants
f. Some of the outreach strategies haven't resulted in many applicants
g. Partners that were supposed to provided referrals have not provided them in sufficient numbers
h. Some applicants have difficulty getting to the program/employer location
i. Didn't have enough resources for recruitment
j. Changing economic conditions in the areas has made recruitment more challenging]

11. Overall, what recruitment or referral strategies being used under the grant have been most successful? Do you feel any of these strategies are new, unique, and/or innovative?

F. **PARTICIPANT ELIGIBILITY/INTAKE AND PARTICIPATION LEVELS UNDER THE GRANT**

1. What are the eligibility requirements for enrollment under the grant? *[Note: Request copies of participant eligibility or intake form(s).]* [Probe for:
   a. Complete pre-apprenticeship program (i.e., for apprenticeship program component)
   b. Be from a specific subpopulation
   c. Reside within a specific geographic area
   d. Meet income eligibility requirements
   e. Meet an age requirement
   f. Meet education level requirements (e.g., high school diploma, GED/HSED) or basic skill levels]

2. Describe the intake process for the apprenticeship programs operating as a part of your grant? How do apprentices apply to the program and what steps do they take to advance to being an apprentice?
   a. At what point is someone considered an apprentice?
   b. At what point does a participant you are serving under the grant become an apprentice?
   c. Does this process vary across apprenticeship programs or is it consistent?

3. What role, if any, do employers play in the screening and selection process for apprenticeships under the grant, particularly in the case of incumbent workers served under the grant? Please describe this process including (if applicable):
   a. How do employers generally determine whether an applicant is the right fit for an apprenticeship program under the grant?
   b. About what percentage of applicants are rejected (e.g., screened out during the employer interview process)? What are the major reasons employers reject applicants?
   c. What are the main reasons that applicants are screened out or fail to move through the intake process to be considered by employers?

4. Beside employers, are there other organizations that assist in the intake, screening, and enrollment process for apprentices? [Probe for:
   a. Employers
   b. Community or technical college
   c. Labor organization (e.g., union, labor association/labor federation)
   d. American Job Center
   e. Nonprofit (e.g., community or faith-based) service/training provider
   f. Industry association
   g. Local government agency
   h. State government agency]

5. During the intake process, are any formal assessment tools/tests used by employers or the grantee/partners (including formal tests such as the TABE, interest inventories, substance abuse screening)? If yes, please identify these formal assessments. *[Note: Request copies of assessment forms, if relevant.]*

6. Does your organization, employers, or other partners typically require potential apprentices to provide or undergo any of the following before enrolling in the apprenticeship program?

a. Documentation of ability to legally work in the United States
b. Background check for felonies
c. Background check of misdemeanors
d. Drug screening
e. Physical or other medical exam

G. **KEY FEATURES OF AN APPRENTICESHIP PROGRAM FORMED/EXPANDED UNDER THE GRANT**– *AN EXAMPLE OF A REGISTERED AND/OR UNREGISTERED APPRENTICESHIP PROGRAM FUNDED UNDER THE GRANT* [If the grantee has more than one apprenticeship program, teams should focus on one to two programs and its associated employer(s) or sponsor. Use your discretion as to which programs (e.g., largest, newest, non-traditional industry programs). Walk through the set of questions below for **at least one registered apprenticeship program and one unregistered apprenticeship program** you are discussing in detail on the visit. It may be appropriate to skip some of these questions with the grant manager and cover them at the employer (and/or sponsor) or training site where the apprenticeship training is being provided.]

1. What geographic area is the apprenticeship program serving?
2. What industry sector is the focus of the apprenticeship program?
3. Is the apprenticeship program registered/unregistered? If unregistered, is there a plan to register the program?
4. If the program is registered, who is the sponsor of the apprenticeship program (e.g., a group sponsor, employer, union, etc.)?
5. Is the recruitment and intake process for this program substantially different from what you described above? If so:
   a. What is the typical recruitment source(s) for the apprenticeship program? What methods are used for recruitment? Are apprentices enrolled in cohorts, and if yes, how often are new cohorts enrolled (e.g., 4 times a year)?
   b. Is the program targeted on incumbent workers? Please discuss (e.g., types of incumbent workers that are targeted and from which employers).
   c. Are there any other types of targeting of special populations? Please identify specific subgroup populations targeted. What strategies are used to recruit them?
   d. What is the eligibility criteria used in selecting participants for the apprenticeship program? Please also briefly discuss the assessment and intake process.
6. Is the apprenticeship program time-based (e.g., completion of specific numbers of hours of training), competency-based or a combination of the two?
   a. If time-based, what is the usual duration of participation in the apprenticeship? Is there variation in how long it takes apprentice to complete the apprenticeship? If yes, what is the range of time (in weeks, months, or years) and why might it vary on a case-by-case basis?
   b. If competency-based, how is it determined that a participant has achieved the necessary level of competence to complete the apprenticeship? How long does it take an apprentice typically to reach the necessary level of competence and how much variation is there across apprentices?
7. How many hours of RTI (i.e., classroom/web-based) are provided during the apprenticeship component? Over what period of time does RTI occur?
   a. What is the typical schedule for an apprentice each week – e.g., 4 hours of formal classroom instruction and 36 hours of work)? Does this schedule change over the course of the apprenticeship?
   b. Where and how is instruction provided (e.g., classroom, web-based, hybrid, laboratory/shop)?
   c. Where is instruction provided (e.g., at a community college, at a union, at an employer site)?
   d. Is RTI and OJT provided concurrently, is it front-loaded, or does RTI and OJT alternate during the apprenticeship?

e. Please provide a brief overview of the instruction provided (e.g., topics covered in classroom instruction). *[Note: If applicable, request a syllabus for the coursework or a topic outline for the training.]*

8. Are there innovative RTI methods being used as part of the apprenticeship program? Please briefly discuss. [Probe for:
   a. Accelerated learning modules
   b. Contextualized learning
   c. Team teaching
   d. Self-paced learning
   e. competency-based learning
   f. Prior learning assessments
   g. Technology-enabled learning, such as use of simulators, on-line teaching/learning
   h. Integrating basic skills instruction with technical instruction]

9. While involved in RTI, how many hours of work at a job/employer site does an apprentice complete (i.e., each week, month, or year). Does this vary over time and, if so, how? How many total hours of OJT would an apprentice typically complete over the period of the apprenticeship?
   a. Where do apprentices work (i.e., the employer) and in what types of jobs do apprentices start and progress to during their involvement in the apprenticeship?
   b. Who oversees and provides workplace/on-the-job instruction to the apprentice (i.e., while the apprentice is working)? Please briefly describe the nature of the workplace instruction provided to apprentices.
   c. What is the supervisor-to-apprentice ratio during the apprenticeship period (e.g., 1 supervisor to 3 apprentices)? Does it change over time?
   d. How are mentors for OJT provided to apprentices?

10. What aspects, if any, of the apprenticeship RTI or services do you think are most innovative? Effective?

11. Is the apprenticeship training connected to higher education? If so, how? Do apprenticeship participants receive post-secondary (college) credits, credentials, or certificates? What are the credits, credentials, and/or certificates? What is the schedule for receipt of these credits, credentials, or certifications?

12. What is the schedule of wages and benefits for apprentices?
    a. What is the starting wage?
    b. What is the ending wage?
    c. On average, how large is the hourly wage increase in dollars: $____
    d. What milestones trigger increases in hourly wages? (e.g., annual increases, achievement of certain set of competencies, completion of RTI)

13. Do apprentices receive any of the following benefits other than their wages during their apprenticeship program?
    a. Health benefits
    b. Paid sick leave
    c. Paid vacation time
    d. Retirement benefits
    e. Other (Please specify)

14. To what extent are non-training supports provided during the apprenticeship period and what is the source of funding for these supports (e.g., case management, career coaches/navigators counseling, and mentoring)?

15. Are there additional supports or other strategies used to help apprentices from underserved populations successfully complete the program? If so, please describe.

16. To what extent are supportive services provided for apprentices, such as transportation assistance, work clothes/equipment, childcare, and needs-based payments? If provided, how are these supportive services structured and paid for? Who provides these services?

17. Do apprentices pay any costs of the RTI (e.g., tuition, fees, equipment/books, etc.)?
18. What is the goal (if any) for enrollment in the apprenticeship program under the grant? To date, how many apprentices have been enrolled? To date, how many apprentices have completed their apprenticeships? Has the program experienced attrition – and if yes, why? If available, about what percentage of those enrolled in the program terminate before completion of the apprenticeship?

H. **EMPLOYER RECRUITMENT, ENGAGEMENT, AND ROLES** *Note: Prior to the site visit, collect the following information from the grant application on the following to the extent it is available: Who are the collaborating employers listed on the grant application? [Provide a full list of employers.] What methods did the proposal specify for reaching out to and involving the employers? What roles, if any, did the grantee propose to play in helping company to plan and/or implement apprenticeship programs?*

1. Are grant funds used to market to, recruit, and/or engage employers to consider establishing or expanding with apprenticeship program(s)?
2. Does your grant fund staff at your organization to market to, recruit, and/or engage employers to consider establishing or expanding with apprenticeship program(s)?
3. Does your grant fund other partners to market to, recruit, and/or engage employers to consider establishing or expanding with apprenticeship program(s)?
4. At your organization and other partnering organization, about how many full-time staff equivalents (FTEs) for the past year of your grant were funded under the grant to conduct employer outreach, recruitment, and engagement effort under the grant? _____FTEs
5. What is the goal under your grant for the total number of employers engaged (i.e., those employers that adopt apprenticeship programs as a result of your grant project)? ____ employers engaged
6. Under your grant, what number of employers have been engaged to date (i.e., those employers that have adopted apprenticeship programs as a result of your grant project)?
   a. _____ employers engaged (as of __/__/__)
   b. If known, about what percentage of those engaged have had fewer than 25 employees?
   c. If known, what is the largest and smallest number of apprentices enrolled in apprenticeships at the employers that have been engaged?
7. Is your project on track to meet your goal for the total number of employers engaged under the grant? If not, why not?
8. If new employers have been recruited under the grant, what methods have been used to reach out to and recruit employers? Which methods have proved more and less successful? [Probe for:
   a. Direct contact through telephone or emails
   b. Distribution of flyers
   c. Program staff outreach presentations or orientations with employers or business organizations
   d. Referrals from other organizations and employers (e.g., the Chamber of Commerce, other businesses organizations, employers sponsoring apprenticeships, workforce development programs, etc.)
   e. Outreach campaigns using media (e.g., PSAs, TV, radio, newspaper, etc.)
   f. Websites/social media (e.g., LinkedIn, Facebook, etc.) – please specify, which types of social media are used and how
   g. Word-of-mouth]
9. Has any grant funding been used for financial supports to encourage employer engagement? Or funds from other sources? If so, how are the incentives structured and are they to defray costs for certain aspects of apprenticeship programs? How successful have these incentives been in encouraging employer engagement? What have the challenges been?
10. What message(s) have been used to engage employers? Do messages vary by size or other characteristics of the employer? Which messages have been most/least effective?
11. How have targeted employers responded to the outreach and recruitment effort?

a. Has the grant-funded initiative been able to recruit the intended number of employers?
b. Has the pool of potential employers for the program been sufficient? Has this pool of potential employers changed over the course of the grant? If so, how and why?
c. Have there been more employers interested in engaging under the grant than can be included (e.g., is there a waiting list for employers to join)?
d. If any of the following data are available, please provide *(Note: Estimates are fine if actual numbers are not available)*:
    i. # employers outreached
    ii. # or % interested
    iii. # or % moving along pathway to establishing apprentice/pre-apprenticeships
    iv. # or % of employers registering apprenticeships programs

12. What are the key barriers in persuading companies to start or expand apprenticeship programs? [Probe for:
    a. Lack of knowledge about apprenticeship
    b. Administrative hassle and paperwork involved in registering the program
    c. Fear of involvement with the government
    d. Costs of the program
    e. Difficulty in finding related technical instruction provider that is a good fit
    f. Lack of trainers
    g. Concern about unionization
    h. Not enough of a pool of employers in the area served that are interested in apprenticeships
    i. Lack of employers hiring
    j. Lack of employer facing shortages of skilled workers
    k. COVID-19 pandemic]

13. What are the key factors that motivate employers to start or expand apprenticeship programs? [Probe for:
    a. Existing or future shortage of qualified workers
    b. Expected benefits during and soon after the apprenticeship
    c. Subsidies to firms or for related instruction
    d. Ability to benchmark skills to high levels
    e. Screening process effective at identifying workers likely to succeed
    f. Help in reaching a diverse, qualified workforce
    g. National credential linked to registered apprenticeship
    h. Assistance in developing skill standards and registration]

14. What are the key obstacles or reservations that employers cite to grantee staff when they are not interested in moving forward to establishing an apprenticeship program? [Probe for:
    a. Employer does not have need to upskill/train workers
    b. Apprenticeship training is too expensive
    c. Apprentices might be hired or "poached" by competitors after completing their training
    d. The employer cannot spare the time of other workers to provide mentorship or on-the-job training
    e. Employer has a training they are currently happy with
    f. The registration process is too complicated
    g. Regulatory compliance costs associated with apprenticeship are too high
    h. Apprenticeship may encourage unionization efforts
    i. Apprenticeship training is more intensive than the training that the employer needs
    j. Business is experiencing instability and/or leadership change
    k. Employers are concerned about liability
    l. Fear of involvement with the government]

15. What types of assistance have been provided employers to help them in planning and initiating apprenticeship programs? [Probe for:
    a. Help specifying an occupation that fits the employer's requirements
    b. Help identifying a related technical instruction provider and/or curriculum
    c. Help developing standards of apprenticeship
    d. Help developing wage structure and schedule
    e. Help completing relevant forms and register the apprenticeship program
    f. Help communicating with the DOL Office of Apprenticeship or State Apprenticeship Agency and/or handling the paperwork for the employer
    g. Help reporting to RAPIDS or equivalent state reporting]
16. If data are available, for how many employers has the grantee assisted in developing apprenticeship work processes (i.e., apprenticeship standards) and in applying for registration under the grant?

I. **SUPPORTS FOR COMPLETION AND EMPLOYMENT SUCCESS**
1. How is the grant supporting persistence and completion of apprenticeship programs? What features of the apprenticeship programs make it easier for apprentices to complete the program? [Probe for:
    a. Online related education and instruction (rather than going to campus or provider)
    b. Self-paced instruction
    c. Competency-based learning
    d. Contextualized learning
    e. Integrated instruction/team teaching
    f. Prior learning assessments/credit for prior learning
    g. Technology-enabled learning other than online learning (e.g., simulation labs)
    h. Paid time for related instruction
    i. Competency-based apprenticeship]
2. Which personal supports are available to apprentices? Through the grant or partners? [Probe for:
    a. Transportation
    b. Childcare
    c. Dependent care
    d. Housing assistance
    e. Needs-related payments that are necessary to enable an individual to participate in education and training activities funded through this grant]
3. Which of the following academic supports are routinely offered for apprentices participating under the grant, either through your organization or your partners? [Probe for:
    a. Academic advising and counseling
    b. Tutoring
    c. Tuition assistance
    d. Basic skills training
    e. Career counseling or coaching
4. Have there been supportive services you have not been able to provide to or help apprentices access to support their success? If so, which ones and why?
5. Have any limits been placed on a maximum amount of grant funding for supportive services to be available to apprentices? If yes, what is the maximum amount per apprentice: $_____
6. Is there an individual, such as a case manager, who is assigned to work one-on-one with each apprentice throughout the program? If yes, what are the responsibilities of the individual assigned to work with each apprentice? [Probe for:
    a. Apprentice monitoring and case management

b. Career counseling and coaching
c. Financial counseling
d. Monitoring satisfaction of apprentice with employer
e. Personal counseling
f. Referrals to services in the community]

7. Are grant funds being used for the provision of gift cards or other payments to apprentices for providing information on their employment status after they leave the program? If yes, please describe.

8. What strategies are being used to support completion and employment success for underserved populations that may differ from the generally available supports? How well do they appear to help these apprentices? Are there some services they need that you can't offer or help them access?

9. How well are supportive services helping apprentices persist in and complete their program? How well are supportive services helping apprentices improve their employment opportunities and circumstances (e.g., find and retain job, get promoted, wages)?

J. **SUSTAINABILITY AND LESSONS LEARNED**

1. Have you developed sustainability plans for the apprenticeships implemented under the grant? If so, please describe these plans. What sources of funding will be used to sustain the apprenticeship activities implemented under the grant? Do you feel that your sustainability plan and leveraged resources are sufficient to sustain the activities of the grant after the completion of the grant?

2. To what extent do you think your program could and should be replicated in other localities? What features of your program are most amenable to replication? What features of project are least amenable to replication? How does location, the target population served, or other distinctive features of your program make it either non-transferable or limit transferability?

3. What partnerships have been most successful? To what extent will partnerships be sustained? With which partners and how?

4. To date, what do you consider to be your most successful strategies implemented under the grant?

5. Which apprenticeship programs or models have appeared most successful? Why so?

6. To date, what do you believe to be the main lessons learned from your grant for apprenticeship/pre-apprenticeship program design and operations?

7. What innovations and strategies under the grant can contribute to efforts to encourage more employers to adopt apprenticeships?

K. **PRE-APPRENTICESHIP PROGRAMS (SCALING APPRENTICESHIP GRANTEES ONLY)** *[If the grantee has more than one pre-apprenticeship program, teams should focus on one program. Use your discretion as to which programs (e.g., largest, newest, non-traditional industry programs). Walk through the set of questions below for the program you are discussing in detail on the visit. It may be appropriate to skip some of these questions with the grant manager and cover them at the employer (and/or sponsor) or training site where the apprenticeship training is being provided. For the pre-apprenticeship programs identified, cover generally the features across the pre-apprenticeship programs; alternatively, if the programs vary, the interview can focus on one specific program.]*

1. Who is overseeing the pre-apprenticeship program(s) (e.g., the grantee, a partner, an employer, etc.)?

2. What are the recruitment sources for the pre-apprenticeship program? What methods are used for recruitment? Are pre-apprentices enrolled in cohorts, and if yes, how large are the cohorts and how frequently are new cohorts of pre-apprentices enrolled (e.g., four times a year)?

3. How is the pre-apprenticeship program marketed to prospective participants? [Probe for:
   a. Distribution of flyers, posters
   b. program staff outreach presentations or orientations held in the area served
   c. Informational websites

d. Toll-free informational hotlines
e. Outreach campaigns using media (e.g., PSAs, TV, radio, newspaper, ads on buses/bus shelters)
f. Social media (e.g., LinkedIn, Facebook, Twitter, Instagram, etc.) – please specify, which types of social media are used and how
g. Word-of-mouth
h. Primary partners]

4. Are the pre-apprenticeship program(s) targeting any specific populations? Why have these populations/subpopulations been selected? [Probe for:
   a. Incumbent workers
   b. Workers currently employed (but not at apprenticeship sponsor)
   c. New entrants to the labor force
   d. Unemployed, underemployed, long-term unemployed
   e. Public workforce system clients
   f. College students
   g. High school students
   h. Populations that may traditionally be underrepresented in apprenticeship, including:
      i. Veterans
      ii. Military spouses
      iii. Transitioning service members
      iv. Women
      v. People of color
      vi. People with disabilities
      vii. People previously involved in the justice system]

5. Has the pre-apprenticeship program encountered challenges in recruiting participants and if so, what types of challenges? How have challenges been addressed/overcome?

6. What is the eligibility criteria used in selecting participants for the pre-apprenticeship program? Please also briefly discuss the assessment and intake process.

7. What is the usual duration of participation in the pre-apprenticeship program?
   a. How many hours of instruction (i.e., classroom/web-based) are provided during the pre-apprenticeship program? Over what period of time does instruction occur? What is the typical schedule for a pre-apprentice each week? Does this schedule change over the course of the pre-apprenticeship?
   b. Where is instruction provided (e.g., at a community college? How is instruction provided (e.g., classroom, web-based, hybrid, laboratory/shop)?
   c. Are there innovative methods being used as part of the pre-apprenticeship initiative? Please briefly discuss. [Probe for:
      i. Accelerated learning modules
      ii. Contextualized learning
      iii. Self-paced learning
      iv. Competency-based learning
      v. Prior learning assessments/credit for prior learning
      vi. Technology-enabled learning, such as use of simulators, on-line teaching/learning
      vii. Integrating basic skills instruction with technical instruction]

8. Is there a work-based learning opportunity provided as part of the pre-apprenticeship program? If yes:
   a. How many hours of work-based learning do pre-apprentices complete?
   b. Where do pre-apprentices work and in what types of jobs?

9. What credentials do pre-apprenticeship participants earn from this pre-apprenticeship program?
10. Do pre-apprentices receive credit in their apprenticeship programs for time in the pre-apprenticeship program?
11. To what extent are non-training supports provided during the pre-apprenticeship period (e.g., case management, career coaches/navigators counseling, and mentoring)?
12. To what extent are supportive services provided during the pre-apprenticeship period, such as transportation assistance, work clothes/equipment, childcare, and needs-based payments? If provided, how are these supportive services structured and paid for? Who provides these services?
13. What, if any, post-completion services are provided to participants of the pre-apprenticeship program(s)? [Probe for:
    a. Referral to apprenticeship programs
    b. Referral to other education or training programs
    c. Help with paying for certification exams or obtaining credentialing
    d. Job search or placement assistance
    e. Job retention services
    f. Provision or referral to supportive services]

CHECKLIST OF ITEMS TO COLLECT FROM SITE (IF AVAILABLE)
- Background information about the grantee organization
- Additional documentation detailing key apprenticeship/pre-apprenticeship program components (e.g., RTI, on-the-job training or mentoring)
- Evaluation reports that may have been prepared on the program
- Blank set of intake forms
- Diagram showing how participants flow through the program
- Organizational chart for the program
- Participant recruitment materials
- Employer recruitment material

Appendix B. Partner Discussion Guide

Apprenticeship Evidence-Building Portfolio
Scaling Apprenticeships through Sector-Based Strategies Grants and Closing the Skills Gap Grants
Partner Discussion Guide

INTRODUCTION

I am/we are researchers with The Urban Institute/Mathematica/Capital Research Corporation, private research organizations based in Washington, DC/Arlington VA which conduct policy-related research on a variety of social welfare and economic issues.

This project is being conducted under contract to the U.S. Department of Labor. Our visit here today is part of the Apprenticeship Evidence-Building Portfolio project, a national study sponsored by the U.S. Department of Labor. The study will learn how apprenticeship programs can help improve the skills and employment outcomes of American workers. A major aim of the study is to learn more about the different models of apprenticeship being implemented. In each grantee we visit, we will be speaking with grant administrators and staff, program partners (including employers), and apprentices.

Privacy Statement: I/we want to thank you for agreeing to participate in the study. I/we know that you are busy and we will be as focused as possible and will only ask questions that are relevant to your experience. We have many questions and will be talking to many different people, so please do not feel as though we expect you to be able to answer every question. Your participation in this interview is voluntary and you may choose not to answer some or any of our questions.
We believe the risks of participating in this study are minimal.

We believe there are no direct benefits to you, but we hope that the findings from this study will benefit the Apprenticeship Evidence-Building Portfolio project by providing research insights on how apprenticeship programs can benefit workers.

My colleague and I will be taking notes in order to document what we hear during our discussion, and we may record this discussion. We do not share these notes with anyone outside of our research team, including Department of Labor, and we will destroy these notes after the end of our project. When we compile our reports, the names of individual respondents will not be included. When we compile our reports, the names of individual respondents will not be included. If we choose to quote you, you will only be identified by your title. You will not be quoted directly by name in any of our reports. While it is possible that you might be identified by your title, we will do our best to minimize the chance of that occurring.

Finally, to help us accurately capture the information you share, we would like to record this interview. The recording is just a back-up for our notes and will be kept within our small research team. The interview recording will be deleted once we have developed a full set of notes from the interview.

OMB Burden Statement: According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays an Office of Management and Budget (OMB) control number. The valid OMB control number for this information collection is XXXX-XXXX. The time required to complete this collection of information is estimated to average 60 minutes, including the time to review instructions, search existing data resources, gather the data needed and complete and review the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Chiefevaluationoffice@DOL.gov and reference the OMB Control Number XXXX-0NEW.

Do you have any questions before we begin?
[If we decide to record the interview] Are you okay with us recording the interview to improve the accuracy of our notes?

Do I have your permission to begin the interview? [BEGIN INTERVIEW IF CONSENT GRANTED]

Note: Document the following information for each respondent:
- *Name, title and organization/affiliation*
- *Role in the grant program and other organization roles*
- *Length of involvement with the organization and with the program*

A. OVERVIEW OF PARTNER AND THEIR ROLE

1. Verify with the respondent the following background information about the grant. *[Note: Collect and pre-fill this information prior to the visit from the grant application or other available documentation and verify with the respondent.]*
   a. Please describe your organization and your role in the organization.
   b. What is your organization's role and scope of work in the grant? Please describe.
   c. Did you receive grant funds as a part of your involvement in the grant activities? How much funding did you receive?
   d. Did you provide any matching funds? How much have you provided to date?
   e. Does your involvement in the grant include sponsoring an apprenticeship and pre-apprenticeship program?
      i. ___Registered Apprenticeship
      ii. ___Unregistered apprenticeship
      iii. ___Pre-apprenticeship *[Allowable Activity for Scaling grantees only]*
2. Does your involvement in the grant include providing one or more components of an apprenticeship or pre-apprenticeship program?
   a. ___ Sponsoring a registered apprenticeship program
   b. ___ Paid work-based experience
   c. ___ On-the-job training
   d. ___ Related education and instruction
   e. ___ Awarding credentials
   f. ___ Employer policies on safety, supervision, and equal employment opportunity
3. For programs you are involved in, please identify the following:
   a. Industries targeted:
   b. Occupations targeted:
4. What is your organization's previous experience with apprenticeships (prior to this grant)? Are you involved in other apprenticeship grants or initiatives? What are they? [Probe for: other DOL apprenticeship grant initiatives; other DOL training initiatives (e.g., America's Promise, Ready to Work, Strengthening Working Families Initiative, Tech Hire, TAACCCT grants); and any other apprenticeship initiatives besides DOL investments]
5. Has your role for this grant changed over time? How so?

B. ENVIRONMENTAL CONTEXT

1. What geographic area does your organization serve under the grant (e.g., identify specific states, counties or regions served])? *[Note: Collect information prior to the visit and verify during interview.]*
2. What are the key demographic characteristics of the population and other distinguishing features of the geographic area served under the grant? [Probe for: large numbers of unemployed/incumbent workers in need of training, aging skilled workforce nearing retirement]
3. What is the economic environment and context for the area served under the grant? [Probe for: growth industries, extent to which industries rely on apprenticeship; industries that are most likely to feature apprenticeships/pre-apprenticeships; economic conditions such as job openings in sectors/occupations that are focus of grant]
4. What was the apprenticeship "infrastructure" like in the geographic area served prior to grant and extent of linkages of grantee/partners to apprenticeships? [Probe for: established

relationships with apprenticeship programs, state apprenticeship agencies, apprenticeship intermediaries, industry associations, unions, schools, American Job Centers, and employers]

5. What was the extent to which registered and unregistered apprenticeship and pre-apprenticeship opportunities are available, and in which industry sectors/occupations in the area served, prior to the grant?

6. To what extent is there overlap/linkage between this grant-funded project (e.g., the Closing the Skills Gap or Scaling Apprenticeships grants) and other initiatives? [Probe for: other DOL apprenticeship grant initiatives; other DOL training initiatives (e.g., America's Promise, Ready to Work, Strengthening Working Families Initiative, Tech Hire, TAACCCT grants); and any other apprenticeship initiatives besides DOL investments]

7. To what extent has the COVID-19 pandemic impacted the implementation or outcomes of your grant activities? Are there any other factors since the start of your grant that have affected the programs' ability to recruit participants or employers, as well as ability of apprentices to complete training and find employment? [Probe for: in- or out-migration of major employers, major layoffs, base closings, natural disasters]

C. **GRANT ORGANIZATIONAL STRUCTURE AND START-UP/IMPLEMENTATION OF GRANT ACTIVITIES**

1. As a partnering organization, who are the key staff at your organization and their roles under the grant?
   a. Number and position/title of staff under grant (including percent of workload dedicated to this grant for staff person; include those funded under the grant, as well as those not funded but involved in the grant)
   b. Staff role performed under the grant

2. How do you work with [name of grantee organization]? Please describe the collaboration.

3. What other organizations do you partner with as a part of the grant? Please describe these collaborations.

4. Did your organization experience start-up or early implementation issues under the grant (e.g., difficulties hiring staff, problems engaging with the grantee or other partners, lack of employer interest/engagement, lack of potential participant interest, or external (environmental) factors? Please discuss each challenge, including how it affected grant implementation, and if and how the challenges were overcome.

5. How has the collaboration changed over time?

D. **POLICY CHANGES, PROGRAM INFRASTRUCTURE AND DATA COLLECTION/USE**

1. Has your organization been involved in developing and implementing any policy or procedural changes to support apprenticeship expansion as a part of or as a result the grant? What are they intended to do? Have they worked as intended? How so or not? [Probe for:
   a. State or local legislation
   b. State or local policy guidance
   c. Increased state or local government funding
   d. Enrollment policy changes at a community college
   e. Credit or articulation policy changes at a community college (e.g., credit for prior learning)
   f. Policies/procedures on apprentice safety
   g. Policies/procedures on apprentice supervision
   h. Policies/procedures on equal employment opportunity for apprentices
   i. Policies on other aspects of apprenticeship (e.g., wage progression or employer incentives)]

2. What systems and processes has your organization been involved in implementing or enhancing to help simplify program development and reduce program start-up times and costs for registered apprenticeship programs? Have these systems or processes made it easier for employers to deploy the program(s) at scale? Have they been able to promote program consistency and quality? If yes, how so?

3. Has your organization been involved in developing new or enhancing apprenticeship standards for the registered apprenticeship programs implemented under your grant? If yes, for which programs/industries? Please describe your involvement.
4. Has your organization been involved in developing new or enhancing existing industry-approved/recognized credentials for the apprenticeship programs implemented as a part of the grant? If yes, which ones? Please describe your involvement.
5. Have your organization been involved in developing new or enhancing existing curriculum for the apprenticeship programs implemented under your grant? If yes, which ones? Please describe your involvement.
6. Have your organization been involved in implementing strategies to facilitate industry-wide acceptance of the apprenticeship model(s) being deployed? How has your organization been promoting apprenticeship? If so, please describe these activities. What have the successes and challenges been?
7. What quality assurance systems has your organization been involved in designing and implementing as a part of the grant? Did you build off of existing structures and systems? If yes, how so? How well have they ensured the quality of apprenticeship programs?
8. Did you offer technical assistance to grant partners and/or apprenticeship sponsors? What did this entail? How did they respond to the technical assistance provided? Where they aspects they used more than others? Were there some aspects they didn't find helpful?
9. What data management systems has your organization been involved in implementing as a part of the grant? What metrics and data did grantees and partners use to define and measure success of the apprenticeship program? [Probe if they used others than the required performance measures for the grant.] How have you and your partners used the metrics and data for continuous improvement?

E. **TARGET POPULATION AND PARTICIPANT RECRUITMENT**
1. As a partner under the grant, is your organization involved in recruitment and referrals of apprentices/pre-apprentices under the grant? If yes, please describe your role. *[Note: if not, skip the remainder of this section of the discussion guide.]*
2. What populations and/or subpopulations have been targeted for recruitment (for apprenticeships) by your organization under the grant? Why have these populations/subpopulations been targeted? [Probe for:
    a. Incumbent workers
    b. Workers currently employed (but not at apprenticeship sponsor)
    c. New entrants to the labor force
    d. Unemployed, underemployed, long-term unemployed
    e. Public workforce system clients
    f. College students
    g. High school students
    h. Populations that may traditionally be underrepresented in apprenticeship, including:
        i. Veterans
        ii. Military spouses
        iii. Transitioning service members
        iv. Women
        v. People of color
        vi. People with disabilities
        vii. People previously involved in the justice system]
3. As the initiative has progressed, have there been any changes in special populations targeted? If so, what are they? Why?
4. Have employers provided input on the target population or admission criteria? Please describe nature of input and specific criteria or requirements.
5. How has your organization and its partners marketed apprenticeships to prospective participants? [Probe for:

a. Distribution of flyers, posters or other educational/informational
b. Program staff outreach presentations or orientations held in the area served
c. Informational websites
d. Toll-free informational hotlines
e. Outreach campaigns using media (e.g., PSAs, TV, radio, newspaper, ads on buses/bus shelters)
f. Social media (e.g., LinkedIn, Facebook, Twitter, Instagram, etc.) – please specify, which types of social media are used and how
g. Direct mail campaign
h. Word-of-mouth
i. Primary partners]

6. What other programs or services does your organization offer? If there were no apprenticeship program, what else might these applicants have access to?

7. Where can individuals apply for your apprenticeship programs? [Probe for:
a. Employers
b. Community college
c. Your organization
d. Union/labor organization
e. Another intermediary
f. Pre-apprenticeship program
g. American Job Center]

8. How successful has your organization been in recruiting participants? Have you been successful in reaching and recruiting your target populations? Have some been easier to reach and recruit than others? Have there been more applicants than the apprenticeship programs under the grant can serve (e.g., is there a waiting list to get into the program) or less?

9. What strategies has your organization used to recruit individuals from groups who are underserved by apprenticeship programs, such as women, Black/African American and Latinx/Hispanic youth, out-of-school youth, veterans, people with disabilities, etc.)? Which groups have you been successful with and with which groups have you been unsuccessful? Which strategies seem successful or not?

10. Have there been recruitment challenges? If so, what challenges have been encountered and how have they been addressed? [Probe for:
a. COVID pandemic
b. Have difficulty finding eligible participants
c. Many who applied have insufficient basic skill levels
d. Some applicants are not interested or motivated to participate in apprenticeship
e. Apprenticeship period is too lengthy for some applicants
f. Some of the outreach strategies haven't resulted in many applicants
g. Partners that were supposed to provided referrals have not provided them in sufficient numbers
h. Some applicants have difficulty getting to the program/employer location
i. Didn't have enough resources for recruitment
j. Changing economic conditions in the areas has made recruitment more challenging]

11. Overall, what recruitment or referral strategies being used under the grant have been most successful? Do you feel any of these strategies are new, unique, and/or innovative?

F. **PARTICIPANT ELIGIBILITY/INTAKE AND PARTICIPATION LEVELS UNDER THE GRANT**

1. As a partner under the grant, is your organization involved in participant eligibility/intake of apprentices/pre-apprentices under the grant? If yes, please describe role. *[Note: if not, skip to next section of the discussion guide]*

2. What are the eligibility requirements for enrollment for any programs your organization oversees or sponsors? *[Note: Request copies of participant eligibility or intake form(s).]* [Probe for:
a. Complete pre-apprenticeship program (i.e., for apprenticeship program component)

  b. Be from a specific subpopulation
  c. Reside within a specific geographic area
  d. Meet income eligibility requirements
  e. Meet an age requirement
  f. Meet education level requirements (e.g., high school diploma, GED/HSED) or basic skill levels]

3. Describe the intake process for these apprenticeship programs? How do apprentices apply to the program and what steps do they take to advance to being an apprentice?
  a. At what point is someone considered an apprentice?
  b. At what point does a participant you are serving under the grant become an apprentice?
  c. Does this process vary across apprenticeship programs or is it consistent?

4. What role, if any, do employers play [or you play, if an employer] in the screening and selection process for apprenticeships under the grant, particularly in the case of incumbent workers served under the grant? Please describe this process including (if applicable):
  a. How do employers [you, if employer] generally determine whether an applicant is the right fit for an apprenticeship program under the grant?
  b. About what percentage of applicants are rejected (e.g., screened out during the employer interview process)? What are the major reasons employers reject applicants?
  c. What are the main reasons that applicants are screened out or fail to move through the intake process to be considered by employers?

5. Beside employers, are there other organizations that assist in the intake, screening, and enrollment process for apprentices? [Probe for:
  a. Employers
  b. Community or technical college
  c. Labor organization (e.g., union, labor association/labor federation)
  d. American Job Center
  e. Nonprofit (e.g., community or faith-based) service/training provider
  f. Industry association
  g. Local government agency
  h. State government agency]

6. During the intake process, are any formal assessment tools/tests used by employers or the grantee/partners (including formal tests such as the TABE, interest inventories, substance abuse screening)? If yes, please identify these formal assessments. *[Note: Request copies of assessment forms, if relevant.]*

7. Does your organization, employers, or other partners typically require potential apprentices to provide or undergo any of the following before enrolling in the apprenticeship program?
  a. Documentation of ability to legally work in the United States
  b. Background check for felonies
  c. Background check of misdemeanors
  d. Drug screening
  e. Physical or other medical exam

G. KEY FEATURES OF AN APPRENTICESHIP PROGRAM FORMED/EXPANDED UNDER THE GRANT– *AN EXAMPLE OF A REGISTERED OR UNREGISTERED APPRENTICESHIP TRAINING FUNDED UNDER THE GRANT* *[Teams should focus on the one to two programs selected to discuss with grantee organization. Walk through the set of questions below for the programs you are discussing in detail during the visit. The team may have skipped some of these questions with the grant staff if they did not know and need to cover them at the employer (and/or sponsor) or training site where the apprenticeship training is being provided.]*

1. What geographic area is the apprenticeship program serving?

2. What industry sector is the focus of the apprenticeship program?

3. Is the apprenticeship program registered/unregistered? If unregistered, is there a plan to register the program?
4. If the program is registered, who is the sponsor of the apprenticeship program (e.g., a group sponsor, employer, union, etc.)?
5. Is the recruitment and intake process for this program substantially different from what you described above? If so:
   a. What is the typical recruitment source(s) for the apprenticeship program? What methods are used for recruitment? Are apprentices enrolled in cohorts, and if yes, how often are new cohorts enrolled (e.g., 4 times a year)?
   b. Is the program targeted on incumbent workers? Please discuss (e.g., types of incumbent workers that are targeted and from which employers).
   c. Are there any other types of targeting of special populations? Please identify specific subgroup populations targeted. What strategies are used to recruit them?
   d. What is the eligibility criteria used in selecting participants for the apprenticeship program? Please also briefly discuss the assessment and intake process.
6. Is the apprenticeship program time-based (e.g., completion of specific numbers of hours of training), competency-based or a combination of the two?
   a. If time-based, what is the usual duration of participation in the apprenticeship? Is there variation in how long it takes apprentice to complete the apprenticeship? If yes, what is the range of time (in weeks, months, or years) and why might it vary on a case-by-case basis?
   b. If competency-based, how is it determined that a participant has achieved the necessary level of competence to complete the apprenticeship? How long does it take an apprentice typically to reach the necessary level of competence and how much variation is there across apprentices?
7. How many hours of RTI (i.e., classroom/web-based) are provided during the apprenticeship component? Over what period of time does RTI occur?
   a. What is the typical schedule for an apprentice each week – e.g., 4 hours of formal classroom instruction and 36 hours of work)? Does this schedule change over the course of the apprenticeship?
   b. Where and how is instruction provided (e.g., classroom, web-based, hybrid, laboratory/shop)?
   c. Where is instruction provided (e.g., at a community college, at a union, at an employer site)?
   d. Is RTI and OJT provided concurrently, is it front-loaded, or does RTI and OJT alternate during the apprenticeship?
   e. Please provide a brief overview of the instruction provided (e.g., topics covered in classroom instruction). *[Note: If applicable, request a syllabus for the coursework or a topic outline for the training.]*
8. Are there innovative RTI methods being used as part of the apprenticeship program? Please briefly discuss. [Probe for:
   a. Accelerated learning modules
   b. Contextualized learning
   c. Team teaching
   d. Self-paced learning
   e. Competency-based learning
   f. Prior learning assessments
   g. Technology-enabled learning, such as use of simulators, on-line teaching/learning
   h. Integrating basic skills instruction with technical instruction]
9. While involved in RTI, how many hours of work at a job/employer site does an apprentice complete (i.e., each week, month, or year). Does this vary over time and, if so, how? How many

total hours of OJT would an apprentice typically complete over the period of the apprenticeship?

    a. Where do apprentices work (i.e., the employer) and in what types of jobs do apprentices start and progress to during their involvement in the apprenticeship?

    b. Who oversees and provides workplace/on-the-job instruction to the apprentice (i.e., while the apprentice is working)? Please briefly describe the nature of the workplace instruction provided to apprentices.

    c. What is the supervisor-to-apprentice ratio during the apprenticeship period (e.g., 1 supervisor to 3 apprentices)? Does it change over time?

    d. How are mentors for OJT provided to apprentices?

10. What aspects, if any, of the apprenticeship RTI or services do you think are most innovative? Effective?

11. Is the apprenticeship training connected to higher education? If so, how? Do apprenticeship participants receive post-secondary (college) credits, credentials, or certificates? What are the credits, credentials, and/or certificates? What is the schedule for receipt of these credits, credentials, or certifications?

12. What is the schedule of wages and benefits for apprentices?

    a. What is the starting wage?

    b. What is the ending wage?

    c. On average, how large is the hourly wage increase in dollars: $____

    d. What milestones trigger increases in hourly wages? (e.g., annual increases, achievement of certain set of competencies, completion of RTI)

13. Do apprentices receive any of the following benefits other than their wages during their apprenticeship program?

    a. Health benefits

    b. Paid sick leave

    c. Paid vacation time

    d. Retirement benefits

    e. Other (Please specify)

14. To what extent are non-training supports provided during the apprenticeship period and what is the source of funding for these supports (e.g., case management, career coaches/navigators counseling, and mentoring)?

15. Are there additional supports or other strategies used to help apprentices from underserved populations successfully complete the program? If so, please describe.

16. To what extent are supportive services provided for apprentices, such as transportation assistance, work clothes/equipment, childcare, and needs-based payments? If provided, how are these supportive services structured and paid for? Who provides these services?

17. Do apprentices pay any costs of the RTI (e.g., tuition, fees, equipment/books, etc.)?

18. What is the goal (if any) for enrollment in the apprenticeship program under the grant? To date, how many apprentices have been enrolled? To date, how many apprentices have completed their apprenticeships? Has the program experienced attrition – and if yes, why? If available, about what percentage of those enrolled in the program terminate before completion of the apprenticeship?

H. **EMPLOYER RECRUITMENT AND ENGAGEMENT, AND ROLE [FOR RESPONDENTS WHO ARE NOT EMPLOYERS]** *[Note: Skip this section if the partnering organization is not involved in employer recruitment. Prior to the site visit, collect the following information from the grant application on the following to the extent it is available:*

    a. Who are the collaborating employers listed on the grant application? [Provide a full list of employers.]

    b. What methods did the proposal specify for reaching out to and involving the employers?

    c. What roles, if any, did the partner propose to play in helping company to plan and/or implement apprenticeship programs?]

1. Under the grant, does your organization play a role in marketing to, recruiting, and/or engaging employers to consider establishing or expanding with apprenticeship program(s)? *[Skip to the next section if the answer is no.]*
2. At your organization, about how many full-time staff equivalents (FTEs) for the past year were funded under the grant to conduct employer outreach, recruitment, and engagement effort under the grant?
    a. _____FTEs
3. Do you have a goal under the grant for engaging (i.e., engaging employers to adopt apprenticeship programs)? If yes, what is your organizations goal under the grant:
    a. _____employers
4. Under the grant, what number of employers have been engaged by your organization to date (i.e., those employers that have adopted apprenticeship programs as a result of your grant project)?
    a. _____ employers engaged (as of __/__/__)
    b. If known, about what percentage of those engaged have had fewer than 25 employees?
    c. If known, what is the largest and smallest number of apprentices enrolled in apprenticeships at the employers that have been engaged?
5. What methods have been used to reach out to and recruit employers? Which methods have proved more and less successful? [Probe for:
    a. Direct contact through telephone or emails
    b. Distribution of flyers
    c. Program staff outreach presentations or orientations with employers or business organizations
    d. Referrals from other organizations and employers (e.g., the Chamber of Commerce, other businesses organizations, employers sponsoring apprenticeships, workforce development programs, etc.)
    e. Outreach campaigns using media (e.g., PSAs, TV, radio, newspaper, etc.)
    f. Websites/social media (e.g., LinkedIn, Facebook, etc.) – please specify, which types of social media are used and how
    g. Word-of-mouth]
6. What message(s) have been used by your organization to engage employers? Do messages vary by size or other characteristics of the employer? Which messages have been most/least effective?
7. How have targeted employers responded to the outreach and recruitment effort?
8. Has the grant-funded initiative been able to recruit the intended number of employers?
9. Has the pool of potential employers for the program been sufficient? Has this pool of potential employers changed over the course of the grant? If so, how and why?
10. Have there been more employers interested in engaging under the grant than can be included (e.g., is there a waiting list for employers to join)?
11. If any of the following data are available, please provide *(Note: Estimates are fine if actual numbers are not available)*:
    a. # employers outreached
    b. # or % interested
    c. # or % moving along pathway to establishing apprentice/pre-apprenticeships
    d. # or % of employers registering apprenticeships programs
12. What are the key barriers in persuading companies to start or expand apprenticeship programs? [Probe for:
    a. Lack of knowledge about apprenticeship
    b. Administrative hassle and paperwork involved in registering the program
    c. Fear of involvement with the government
    d. Costs of the program
    e. Difficulty in finding related technical instruction provider that is a good fit

f. Lack of trainers
   g. Concern about unionization
   h. Not enough of a pool of employers in the area served that are interested in apprenticeships
   i. Lack of employers hiring
   j. Lack of employer facing shortages of skilled workers
   k. COVID-19 pandemic]
13. What are the key factors that motivate employers to start or expand apprenticeship programs? [Probe for:
   a. Existing or future shortage of qualified workers
   b. Expected benefits during and soon after the apprenticeship
   c. Subsidies to firms or for related instruction
   d. Ability to benchmark skills to high levels
   e. Screening process effective at identifying workers likely to succeed
   f. Help in reaching a diverse, qualified workforce
   g. National credential linked to registered apprenticeship
   h. Assistance in developing skill standards and registration]
14. What are the key obstacles or reservations that employers cite to grantee staff when they are not interested in moving forward to establishing an apprenticeship program? [Probe for:
   a. Employer does not have need to upskill/train workers
   b. Apprenticeship training is too expensive
   c. Apprentices might be hired or "poached" by competitors after completing their training
   d. The employer cannot spare the time of other workers to provide mentorship or on-the-job training
   e. Employer has a training they are currently happy with
   f. The registration process is too complicated
   g. Regulatory compliance costs associated with apprenticeship are too high
   h. Apprenticeship may encourage unionization efforts
   i. Apprenticeship training is more intensive than the training that the employer needs
   j. Business is experiencing instability and/or leadership change
   k. Employers are concerned about liability
   l. Fear of involvement with the government]
15. What types of assistance has your organization provided employers to help them in planning and initiating apprenticeship programs? [Probe for:
   a. Help specifying an occupation that fits the employer's requirements
   b. Help identifying a related technical instruction provider and/or curriculum
   c. Help developing standards of apprenticeship
   d. Help developing wage structure and schedule
   e. Help completing relevant forms and register the apprenticeship program
   f. Help communicating with the DOL Office of Apprenticeship or State Apprenticeship Agency and/or handling the paperwork for the employer
   g. Help reporting to RAPIDS or equivalent state reporting]
16. If data are available, for how many employers has your organization assisted in developing apprenticeship work processes (i.e., apprenticeship standards) and in applying for registration under the grant?
I. **EMPLOYERS' ROLE IN GRANTS [FOR EMPLOYERS]** *[Note: Details on the program(s) will be covered in Section F. In this section, we want to get more detail on the employer's role and decisions around sponsoring or offering an apprenticeship opportunity.]*
   1. How did you learn about apprenticeship and the opportunity to be involved in this effort?

2. Why were you interested in apprenticeship training? How did you think it could benefit your company?
3. What were your reservations or concerns about apprenticeship training and how it would work in your company?
4. How did you and your company come to the decision to sponsor an apprenticeship program or provide apprenticeship opportunities (with another organization serving as the sponsor)? What were the main reasons you decide to do this?
5. What did do to launch the apprenticeship program? Did you receive any assistance through the grant or partners? What were the start-up activities and costs?
6. Did you work with the grantee or other partners to register your apprenticeship program? If your program is not registered, did you work with the grantee and or other partners to get your program approved by a Standards Recognition Entity? Please describe this process. How easy or difficult was it?
7. How did you decide on the staff to be involved in the program, e.g., supervisors, mentors, trainers? How did you prepare staff for these roles? How have you monitored their performance?
8. Did you recruit apprentices from your workforce, new employees and enroll them in the apprenticeship program, or both? Why? Did you receive assistance from the grantee or partners on recruitment and intake of apprentices? Were they particular qualifications you thought were important?
9. How did you decide on what organization would provide the related training instruction for your apprentices? Did you use curriculum developed through the grant or something else? Do you provide support to apprentices for this training (e.g., tuition costs, time on the clock, use of computer)?
10. Were you provided any financial supports through the grantee or their partners to offset your company's costs of operating the apprenticeship program? Please describe them. Were they adequate for offsetting your costs?
11. How did you and your company address issues around apprentice safety, supervision, or equal employment opportunity? Were there internal policies or practices you had to develop or did your company already have these in place?
12. What has been the response of the apprentices to the program? Has it been positive or negative? Please describe.
13. What information did you have to track on your apprentices? How easy or difficult was it to collect and report this information? Did you receive any assistance to do this?
14. How satisfied are you and your company with the apprenticeship program? Did it meet your expectations? How so or not?
15. Will your company continue to offer the apprenticeship program? Why or why not?

J.   SUPPORTS FOR COMPLETION AND EMPLOYMENT SUCCESS
1. How is your organization supporting persistence and completion of apprenticeship programs? What features of the apprenticeship programs make it easier for apprentices to complete the program? [Probe for:
    a. Online related education and instruction (rather than going to campus or provider)
    b. Self-paced instruction
    c. Competency-based learning
    d. Contextualized learning
    e. Integrated instruction/team teaching
    f. Prior learning assessments/credit for prior learning
    g. Technology-enabled learning other than online learning (e.g., simulation labs)
    h. Paid time for related instruction
    i. Competency-based apprenticeship]

2. Which of the following personal supports is your organization routinely offered for apprentices participating under the grant? For example: [Probe for:
    a. Transportation
    b. Childcare
    c. Dependent care
    d. Housing assistance
    e. Needs-related payments that are necessary to enable an individual to participate in education and training activities funded through this grant]
3. Which of the following academic supports is your organization routinely offered for apprentices participating under the grant? [Probe for:
    a. Academic advising and counseling
    b. Tutoring
    c. Tuition assistance
    d. Basic skills training
    e. Career counseling or coaching
4. Have there been supportive services you have not been able to provide to or help apprentices access to support their success? If so, which ones and why?
5. Have any limits been placed on a maximum amount of grant funding for supportive services to be available to apprentices? If yes, what is the maximum amount per apprentice: $_____
6. [If listed case manager, coach or other support staff in C1] [Probe for:
    a. Apprentice monitoring and case management
    b. Career counseling and coaching
    c. Financial counseling
    d. Monitoring satisfaction of apprentice with employer
    e. Personal counseling
    f. Referrals to services in the community]
7. Is your organization providing gift cards or other payments to apprentices for providing information on their employment status after they leave the program? If yes, please describe.
8. What strategies are being used to support completion and employment success for underserved populations that may differ from the generally available supports? How well do they appear to help these apprentices? Are there some services they need that you can't offer or help them access?
9. How well are supportive services helping apprentices persist in and complete their program? How well are supportive services helping apprentices improve their employment opportunities and circumstances (e.g., find and retain job, get promoted, wages)?

K. **SUSTAINABILITY AND LESSONS LEARNED**
1. What aspects of your partnership have been most successful? The most challenging? To what extent will the partnership and your activities be sustained?
2. To date, what do you consider to be your most successful strategies implemented under the grant?
3. Which apprenticeship programs or models have appeared most successful? Why so?
4. To date, what do you believe to be the main lessons from your involvement in the grant for apprenticeship/pre-apprenticeship program design and operations?
5. What innovations and strategies under the grant can contribute to efforts to encourage more employers to adopt apprenticeships?

L. **PRE-APPRENTICESHIP PROGRAM FORMED/EXPANDED UNDER THE GRANT** *[Teams should focus on the one pre-apprenticeship program selected to discuss with grantee organization. Walk through*

the set of questions below for the programs you are discussing in detail during the visit. The team may have skipped some of these questions with the grant staff if they did not know and need to cover them at the employer (and/or sponsor) or training site where the apprenticeship training is being provided.]

1. Who is overseeing the pre-apprenticeship program(s) (e.g., the grantee, a partner, an employer, etc.)?
2. What are the recruitment sources for the pre-apprenticeship program? What methods are used for recruitment? Are pre-apprentices enrolled in cohorts, and if yes, how large are the cohorts and how frequently are new cohorts of pre-apprentices enrolled (e.g., four times a year)?
3. How is the pre-apprenticeship program marketed to prospective participants? [Probe for:
   a. Distribution of flyers, posters
   b. program staff outreach presentations or orientations held in the area served
   c. Informational websites
   d. Toll-free informational hotlines
   e. Outreach campaigns using media (e.g., PSAs, TV, radio, newspaper, ads on buses/bus shelters)
   f. Social media (e.g., LinkedIn, Facebook, Twitter, Instagram, etc.) – please specify, which types of social media are used and how
   g. Word-of-mouth
   h. Primary partners]
4. Are the pre-apprenticeship program(s) targeting any specific populations? Why have these populations/subpopulations been selected? [Probe for:
   a. Incumbent workers
   b. Workers currently employed (but not at apprenticeship sponsor)
   c. New entrants to the labor force
   d. Unemployed, underemployed, long-term unemployed
   e. Public workforce system clients
   f. College students
   g. High school students
   h. Populations that may traditionally be underrepresented in apprenticeship, including:
      i. Veterans
      ii. Military spouses
      iii. Transitioning service members
      iv. Women
      v. People of color
      vi. People with disabilities
      vii. People previously involved in the justice system]
5. Has the pre-apprenticeship program encountered challenges in recruiting participants and if so, what types of challenges? How have challenges been addressed/overcome?
6. What is the eligibility criteria used in selecting participants for the pre-apprenticeship program? Please also briefly discuss the assessment and intake process.
7. What is the usual duration of participation in the pre-apprenticeship program?
   a. How many hours of instruction (i.e., classroom/web-based) are provided during the pre-apprenticeship program? Over what period of time does instruction occur? What is the typical schedule for a pre-apprentice each week? Does this schedule change over the course of the pre-apprenticeship?
   b. Where is instruction provided (e.g., at a community college? How is instruction provided (e.g., classroom, web-based, hybrid, laboratory/shop)?
   c. Are there innovative methods being used as part of the pre-apprenticeship initiative? Please briefly discuss. [Probe for:
      i. Accelerated learning modules
      ii. Contextualized learning
      iii. Self-paced learning

   iv. Competency-based learning

   v. Prior learning assessments/credit for prior learning

   vi. Technology-enabled learning, such as use of simulators, on-line teaching/learning

   vii. Integrating basic skills instruction with technical instruction]

8. Is there a work-based learning opportunity provided as part of the pre-apprenticeship program? If yes:
   a. How many hours of work-based learning do pre-apprentices complete?
   b. Where do pre-apprentices work and in what types of jobs?
9. What credentials do pre-apprenticeship participants earn from this pre-apprenticeship program?
10. Do pre-apprentices receive credit in their apprenticeship programs for time in the pre-apprenticeship program?
11. To what extent are non-training supports provided during the pre-apprenticeship period (e.g., case management, career coaches/navigators counseling, and mentoring)?
12. To what extent are supportive services provided during the pre-apprenticeship period, such as transportation assistance, work clothes/equipment, childcare, and needs-based payments? If provided, how are these supportive services structured and paid for? Who provides these services?
13. What, if any, post-completion services are provided to participants of the pre-apprenticeship program(s)? [Probe for:
    a. Referral to apprenticeship programs
    b. Referral to other education or training programs
    c. Help with paying for certification exams or obtaining credentialing
    d. Job search or placement assistance
    e. Job retention services
    f. Provision or referral to supportive services]

CHECKLIST OF ITEMS TO COLLECT FROM SITE (IF AVAILABLE)
- Background information about the partnering organization
- Additional documentation detailing key apprenticeship/pre-apprenticeship program components (e.g., RTI, on-the-job training or mentoring)
- Evaluation reports that may have been prepared on the program
- Blank set of intake forms
- Diagram showing how participants flow through the program
- Organizational chart for the program
- Participant recruitment materials
- Employer recruitment material

Appendix C. Apprentice Focus Group Discussion Guide

Apprenticeship Evidence-Building Portfolio
Scaling Apprenticeships through Sector-Based Strategies Grants and Closing the Skills Gap Grants
Apprenticeship Program Apprentice Focus Group Topic Guide

INTRODUCTION

I am/we are researchers with The Urban Institute/Mathematica/Capital Research Corporation, private research organizations based in Washington, DC/Arlington VA which conduct policy-related research on a variety of social welfare and economic issues.

This project is being conducted under contract to the U.S. Department of Labor. Our visit here today is part of the Apprenticeship Evidence-Building Portfolio project, a national study sponsored by the U.S. Department of Labor. The study will learn how apprenticeship programs can help improve the skills and employment outcomes of American workers. We are here today to learn about your experiences in the [apprenticeship program name]. In addition to you, we are also conducting interviews with program staff and program partners.

We want to let you know that you may choose not to answer certain questions. You may also choose to leave the discussion at any time. Regardless of whether or not you answer all of our questions, you will receive a $25 gift card to defray any costs for participating in the focus group. Although we hope you'll stay for the entire discussion, if you need to leave, just let us know, and we can pause and make sure you get signed out and receive your $25 gift card. We expect this discussion to last about 90 minutes.

Privacy Statement: We consider what you say in this focus group as private. Although we will be taking notes, when we report information from the discussion, we will not include your name. Information from this discussion may be included in a public report, but none of the information you share will be attributed to you. While we can assure you that no one on the research team will share what you say today outside of this room, we cannot control what other people will do with the information they hear. Because of that, we encourage all participants to think about whether they would be upset if someone repeated what they said outside of the room when deciding to share something with the group. We also encourage each of you to be respectful of one another and treat the information you hear today as private.

Finally, to help us accurately capture the information you share, we would like to record this conversation. The recording is just a back-up for our notes and will be kept securely within our small research team. The recording will be deleted once we have developed a full set of notes from the interview.

DIRECTIONS FOR COMPLETING INFORMED CONSENT SHEET HANDOUT:

Please check "yes" under statement one on the form we handed you if you agree to participate in today's discussion. Please check "yes" under statement two if you agree to be recorded. Then please initial the piece of paper (don't print your full name).

Introductions

Once again, we appreciate the time have taken today to talk about your experiences in the [name of program]. We learned from [organization or employer overseeing the program] that the training you are receiving is an apprenticeship [or pre-apprenticeship program]. An apprenticeship combines classroom learning with on-the-job training and provides a credential upon completion. People who participate in these programs are typically called apprentices. [A pre-apprenticeship program is designed to prepare individuals for entry into an apprenticeship program or, in some cases, into other job opportunities.]

Ask each person to introduce themselves, give their place of employment, describe the apprenticeship/pre-apprenticeship program they are enrolled in, and their employment status prior to the apprenticeship.

Questions

1. Were you ever previously enrolled in a pre-apprenticeship or apprenticeship?
2. Were you employed by the business sponsoring your program prior to participating in [name of the program]?
3. How did you first come to hear about [name of the program]?
4. How did you get recruited for [name of the program]?
5. Why were you interested in [name of the program]? What did you hope to get out of [name of the program]?
6. What steps did you take leading up to participating in [name of the program]? [Probe for: application; interview; assessment or test]
7. Apprenticeships have training that occurs on the job and that you get from your supervisor on the job. What has the on-the-job training been like? [Probe for: hours a week, interaction with supervisor/mentor, what they learn on a day-to-day basis, ease/difficulty]
8. Apprenticeships also have some instruction or courses provided in a classroom, online, or somewhere else separate from the job. What has this instruction been like? [Probe for: hours a week, format of instruction, what they learn on a day-to-day basis, ease/difficulty]
9. What kind of supports are available to help you complete [name of program]? Were these supports helpful? If so, how? Are their supports you needed but were not available?
10. How prepared do you feel for your job or for a new job in the same field based on your apprenticeship experience?
11. For your program, have you received, or do you anticipate receiving, any of the following as part of the program: certificate of completion, credits, degrees, industry credentials, wage increases, or a promotion? Please describe.
12. If you were in a pre-apprenticeship program, have you since enrolled in an apprenticeship program, or are planning to do so? If you are already in an apprenticeship, did the pre-apprenticeship prepare you for the apprenticeship?
13. Did you experience any challenges to staying in the program and completing your program?
14. What aspects of the program did you like best?
15. What aspects of the program do you think should be eliminated, changed, or improved?

Thank you so much for participating in our discussion today. We appreciate your time!

Appendix D. Grantee Survey Instrument

Apprenticeship Evidence-Building Portfolio
Scaling Apprenticeship Through Sector-Based Strategies Grants and Closing the Skills Gap Grants
Grantee Survey

Thank you for taking the time to participate in the Survey of Closing the Skills Gap grantees.

- **Who is administering this survey?** The Urban Institute, a nonprofit, nonpartisan research organization, is under contract with the U.S. Department of Labor (DOL), to conduct an implementation evaluation of the Scaling Apprenticeship and Closing the Skills Gap grant programs, which includes this survey.
- **What is the purpose of the survey?** This survey will collect information from all grantees that received Scaling Apprenticeship and Closing the Skills Gap grants, and document the range of grantees and service populations/areas, employer engagement efforts, goals, activities, and lessons learned that emerged from grant experiences and will provide information about promising strategies for developing and implementing effective apprenticeship programs.
- **How long will it take to complete?** This survey will take approximately 3 hours.
- **Is participation mandatory?** Provisions in your grant agreement with DOL require grantees to participate in evaluation activities sponsored by DOL, including surveys.
- **Who will see my responses?** The Urban Institute treats the information you provide as private and we will not share your individual responses. Only a few members of the research team will see your responses, in order to tabulate and aggregate responses across grantees. All evaluation reports based on the survey will report findings at the aggregate level and responses to the survey will not be identified by organization or person in any publication.
- **Who can I contact with questions?** If you have any questions, please contact: XXXX at (202) 261-XXXX or XXXXX@urban.org

Thank you again for participating in this survey. We greatly appreciate your time and assistance.

Please submit your completed survey by XXXX.

OMB Burden Statement: According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays an Office of Management and Budget (OMB) control number. The valid OMB control number for this information collection is XXXX-XXXX. The time required to complete this collection of information is estimated to average 90 minutes, including the time to review instructions, search existing data resources, gather the data needed and complete and review the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Chiefevaluationoffice@DOL.gov and reference the OMB Control Number XXXX-0NEW.

Instructions:

Technical Instructions:
- **This web-based survey can be saved and completed in several sittings** by simply clicking the "Next" button at the bottom of the page to save your work. Upon reentering the survey, you will be routed to the last completed question.
- **The survey allows for multiple respondents**, which allows you to delegate sections of the survey to individuals who might have more in-depth information on a particular program or section. To share the survey, simply forward the email invitation that you initially received. Note that two users cannot simultaneously enter information from different computers at the same time.
- **If you prefer to complete the survey on paper rather than computer**, we will either mail you a paper version or email you a Microsoft Word document version of this survey. To request a survey in an alternative format, please contact XXXX at (202) 261-xxxx or XXXXX@urban.org.

Survey Contents: The survey is divided into the following sections:
- A. Respondent Contact Information
- B. Basic Information about Your Grant and Progress to Date in Achieving Grant Goals
- C. Grant Context
- D. Expansion Strategies
- E. Employer Recruitment and Engagement Under the Grant
- F. Apprentice Target Population, Recruitment, and Intake
- G. Related Education and Instruction
- H. On-the-Job Training/Work-Based Learning
- I. Supportive Services
- J. Partnering Organizations
- K. Pre-apprenticeship
- L. Sustainability Plans and Lessons Learned

Suggested Reference Documents: It may be necessary or helpful to have the following documents on hand while completing the survey, particularly:
- the original grant application and any grant modifications;
- internal planning documents; and
- performance reports submitted to DOL.

Scope of Questions: Unless otherwise indicated, survey questions refer to the [Scaling Apprenticeship or Closing the Skills Gap] grant led by your institution and partnering organizations. Please answer as appropriate if any of your [Scaling Apprenticeship or Closing the Skills Gap] grant funded programs had the experience in question. We recognize that your [Scaling Apprenticeship or Closing the Skills Gap] grant activities may be part of a larger effort by your organization but please answer the questions to the best of your ability as they *relate* to the [Scaling Apprenticeship or Closing the Skills Gap] grant activities.

A. RESPONDENT CONTACT INFORMATION — WE HAVE THE FOLLOWING CONTACT INFORMATION IN OUR RECORDS. PLEASE CORRECT THE INFORMATION AS NEEDED: [Note: Questions highlighted in green font will be pre-loaded from the grant agreement or other documents.]
1. Name of institution or organization: XXX
2. Grant number: XXX
3. Name of primary person completing the survey: ___
4. Job title: ___
5. Contact information of primary person completing the survey

a. Mailing address:_____
b. Phone: _____
c. E-mail: _____
d. Website: _____

B. **BASIC INFORMATION ABOUT YOUR GRANT**
1. What has been your organization's previous experience with apprenticeships (prior to receipt of the grant)? (Check all that apply.)
    a. None
    b. Conducted employer marketing or outreach to encourage establishing new apprenticeship programs or expanding existing programs
    c. Served as an apprenticeship program sponsor
    d. Helped with designing or developing curriculum for apprenticeship programs
    e. Provided related technical instruction for an apprenticeship program
    f. An organization staff member served on a state apprenticeship council
    g. Other, please specify: _____
2. For your grant activities, which industries are you focusing on? (Check all that apply.)
    a. Information Technology (IT) and IT-related industries
    b. Healthcare
    c. Advanced manufacturing
    d. Financial services
    e. Educational services
3. Other, please specify _____
4. Do your grant activities target any of the following areas? (Check all that apply.)
    a. Yes, cybersecurity
    b. Yes, artificial intelligence (AI)
    c. No
5. Please list the specific occupations are you targeting for your grant activities.
    a. Occupation #1 _____
    b. Occupation #2 _____ [Programmer: Please allow for respondents to list up to 25 occupations.]
6. For each occupation, have employers hired apprentices to date?

Occupation #1 [populated from B4]	__ Yes, employers have hired apprentices __ No, employers have not hired apprentices but plan to do so __ No, employers have not hired apprentices and do not plan to do so __ Do not know
Occupation #2 [populated from B4]	[continue]
[continue]	[continue]

7. How many new registered apprenticeship programs have you developed to date?
    a. ___# of programs
8. How many existing registered apprenticeship programs have you enhanced or expanded to date?
    a. ___# of programs
9. How many new unregistered apprenticeship programs have you developed to date?
    a. ___# of programs
10. How many existing unregistered apprenticeship programs have you enhanced or expanded to date?
    a. ___# of programs
11. How many new pre-apprenticeship programs have you developed to date? [for Scaling Apprenticeship grantees only]

a. ___# of programs
12. How many existing pre-apprenticeship programs have you enhanced or expanded to date? [for Scaling Apprenticeship grantees only]
a. ___# of programs

C. **GRANT CONTEXT**
1. What is the geographical area you are serving for your grant?
a. Local/regional within one state (i.e., serving a part of one state or a contiguous area that includes multiple sites in a regional workforce area within one state) – Please Identify:_____
b. Local/regional across more than one state (i.e., serving a part of one state or a contiguous area that includes multiple sites in a regional workforce area that may cross more than one state) – Please Identify:_____
c. Statewide (i.e., serving an entire state or multiple non-contiguous sites within one state) – Please Identify:_____
d. National (i.e., serving multiple states in multiple locations across the country; the service area does not need to be contiguous – Please Identify: ___
2. How would you characterize the geographic areas being served by your grant? (Check all that apply.)
a. Urban
b. Suburban
c. Rural
3. In your opinion, to what extent have the industry sectors targeted by your grant in the geographic area served been impacted by changing economic conditions *since the start of your grant*?
a. Positive impact on industry sectors
b. Negative impact on industry sectors
c. No impact on industry sectors
4. In your opinion, how have employment opportunities within the industries sectors targeted by your grant changed in your service area *since the start of your grant*?
a. Increased a lot
b. Increased somewhat
c. No change
d. Decreased somewhat
e. Decreased a lot
f. Don't know/unsure
5. In your opinion, how have apprenticeship opportunities within the industry sectors and occupations targeted under your grant changed in your service area *since the start of your grant*?
a. Increased a lot
b. Increased somewhat
c. No change
d. Decreased somewhat
e. Decreased a lot
f. Don't know/unsure
6. To what extent do you think the COVID-19 pandemic has affected *employment opportunities* within the industries you have targeted?
a. Substantially increased employment opportunities
b. Somewhat increased employment opportunities
c. No change
d. Somewhat decreased employment opportunities
e. Substantially decreased employment opportunities
f. Don't know/unsure

7. To what extent do you think the COVID-19 pandemic has affected *apprenticeship opportunities* within the industries you have targeted?
    a. Substantially increased apprenticeship opportunities
    b. Somewhat increased apprenticeship opportunities
    c. No change
    d. Somewhat decreased apprenticeship opportunities
    e. Substantially decreased apprenticeship opportunities
    f. Don't know/unsure
8. To what extent do you think the COVID-19 pandemic has affected the *willingness of employers* to consider establishing new or expanding existing apprenticeship programs within the industries you have targeted?
    a. Substantially increased employer willingness to consider apprenticeships
    b. Somewhat increased employer willingness to consider apprenticeships
    c. No change
    d. Somewhat decreased employer willingness to consider apprenticeships
    e. Substantially decreased employer willingness to consider apprenticeships
    f. Don't know/unsure
9. To what extent do you think the COVID-19 pandemic has affected *individuals' (e.g., workers, unemployed/underemployed individuals, incumbent workers)* willingness to consider apprenticeship opportunities within the industries you have targeted?
    a. Substantially increased individuals' willingness to consider apprenticeships
    b. Somewhat increased individuals' willingness to consider apprenticeships
    c. No change
    d. Somewhat decreased individuals' willingness to consider apprenticeships
    e. Substantially decreased individuals' willingness to consider apprenticeships
    f. Don't know/unsure
10. To what extent has the start-up and early implementation of your grant been impacted by the COVID-19 pandemic?
    a. Substantially slowed start-up/early implementation of grant activities
    b. Somewhat slowed start-up/early implementation of grant activities
    c. No effect on start-up/early implementation of grant activities
    d. Somewhat accelerated start-up/early implementation of grant activities
    e. Substantially accelerated start-up/early implementation of grant activities
    f. Don't know/unsure
11. If COVID-19 has had an effect on the start-up and implementation of your grant, in what ways has the pandemic impacted your grant? _____ [open-ended box]

D. **EXPANSION STRATEGIES**
    1. What policy changes have been implemented to support apprenticeship expansion as a part of or as a result the grant?
        a. Promoted state or local legislation
            i. ___Successfully passed
            ii. ___ Did not pass
        b. Encouraged the development of state or local policy guidance (e.g., on apprenticeship safety or supervision, equal employment opportunity)
        c. Increased state or local government funding
        d. Other; please specify
    2. What changes at institutions of higher education have been implemented to support apprenticeship expansion as a part of or as a result the grant?
        a. Enrollment policy changes
        b. Credit for prior learning or work experience
        c. Articulation and transfer policies
        d. New data elements collected on apprentices

  e. Other; please specify
3. What changes did employers make to their internal policies or procedure to support apprenticeship expansion as a part of or a result of the grant?
  a. New or improved apprentice safety procedures
  b. New or improved hiring policies to improve apprentice diversity
  c. New or improved policies or procedures on apprentice supervision
  d. Policies on other aspects of apprenticeship (e.g., wage progression)
  e. Other; please specify
4. Have your or your partners developed occupational standards for the apprenticeship programs?
  a. __ Yes
  b. __ No
5. [If yes] For what occupations did you develop standards? [Programmer Note: pipe in occupations listed in B4]
6. What types of industry-approved/recognized credentials have you and your partners developed to be awarded for a particular occupation or industry as a part of the grant?
  a. Apprenticeship completion credential
  b. Certificate of one year or less awarded by an institution of higher education or other training provider
  c. Certificate of one to two years awarded by an institution of higher education or other training provider
  d. Associates (two-year) degree
  e. Bachelors (four-year) degree
  f. Industry/occupational certification approved by a third party
  g. State license
  h. Digital badge
  i. Other credential #1, please specify _____
  j. Other credential #2, please specify _____
  k. Other credential #3, please specify _____
  l. None
7. Have you or your partners developed new or enhanced existing curriculum for the apprenticeship programs implemented under your grant?
  a. __ Yes
  b. __ No
8. [If yes] For what occupations did you develop curriculum? [Programmer Note: pipe in occupations listed in B4]
9. Have you or your partners implemented strategies to facilitate industry-wide acceptance of the apprenticeship model(s)?
  a. __ Yes, please specify _____
  b. __ No
10. Do you offer technical assistance to apprenticeship sponsors?
  a. __ Yes, please specify _____
  b. __ No
11. Have you and your partners developed new metrics and data elements to track activities and results of the apprenticeship program in addition to the grant performance measures?
  a. __ Yes, please specify _____
  b. __ No

E. **EMPLOYER RECRUITMENT AND ENGAGEMENT UNDER THE GRANT**
1. Are you or your partners using grant funds to market to, recruit, and/or engage employers to consider establishing or expanding with apprenticeship program(s)?
  a. Yes
  b. No

2. Does your grant fund staff to market to, recruit, and/or engage employers to consider establishing or expanding with apprenticeship program(s)?
    a. Yes
    b. No
3. Does your grant fund other partners to market to, recruit, and/or engage employers to consider establishing or expanding with apprenticeship program(s)?
    a. Yes
    b. No
4. At your organization and other partnering organization, about how many full-time staff equivalents (FTEs) for the past year of your grant were funded under the grant to conduct employer outreach, recruitment, and engagement effort under the grant?
    a. _____FTEs (during the past year of the grant)
5. Which of the following methods have been used to market apprenticeships to employers under the grant and on a scale of 1 to 5, where 1="Not successful" and 5="Very Successful", how successful are the following methods for marketing apprenticeship to employers?

Method	Has Method Been Used? (Yes/No)	1 Not Successful	2	3	4	5 Very Successful
a. Distribution of marketing flyers/brochures						
b. Website/social media (e.g., Twitter, Facebook, Linked-in, Instagram, etc.)						
c. Outreach/advertising campaigns using media (e.g., PSAs, TV, radio, newspaper, etc.)						
d. Networking using staff connections						
e. Networking using community connections						
f. Cold calling employers						
g. In-person visits to employers						
h. Attendance at conferences or other group convening						
i. Outreach by/referrals from colleges and other educational institutions						
j. Outreach by/referrals from workforce boards or WIOA-sponsored job centers						

Method	Has Method Been Used? (Yes/No)	1 Not Successful	2	3	4	5 Very Successful
k. Outreach by/referrals from state apprenticeship agencies						
l. Outreach by/referrals from industry association partner						
m. Outreach by/referrals from local chambers of commerce						
n. Word-of-mouth/asking employers to recommend other businesses to work with						
o. Other (specify)						

6. What are the selling points that grantee staff use to market apprenticeship to employers? **(Please check all that apply.)**
   a. Financial incentives are available to employers that sponsor apprentices
   b. Apprenticeship leads to improvements in worker productivity
   c. Apprenticeship develops a customized skill set that is specific to an employer's needs
   d. Apprenticeship develops workers' skill set without them leaving the workforce
   e. Apprenticeship provides a steady source of skilled workers that are difficult to hire directly
   f. Apprenticeship reduces turnover
   g. Apprenticeship helps make workers self-sufficient
   h. Apprenticeship has broader social benefits such as reducing inequality or closing the skills gap
   i. Local related technical instruction providers have valuable training opportunities that can be accessed through apprenticeship
   j. Other, please specify _____
   k. None of the above

7. On average, when initially contacted about apprenticeship, about what percentage of employers express an interest in apprenticeship?
   a. _____%
   b. _____ do not track this information

8. If an employer expresses an interest in establishing an apprenticeship program, *on average*, how many months does it take to get an employer through the process of design and registration or establishment of an apprenticeship program for an occupation (once the employer indicates an initial interest in apprenticeship)?
   a. _____months (on average) between initial contact and registration or establishment of an apprenticeship program

9. If an employer is interested in establishing an apprenticeship program, what is the *shortest time* in months that it has taken to get an employer through the process of design and registration or establishment of an apprenticeship program for an occupation (once the employer indicates an initial interest in apprenticeship)?
   a. _____months between initial contact and registration or establishment of an apprenticeship program

10. Has the pool of potential employers to engage for the program been sufficient?
    a. Yes
    b. No
    c. Don't know/unsure
11. Have more employers been interested in participating in apprenticeship than can be accommodated (e.g., is there a waiting list for employers to join)?
    a. Yes
    b. No
    c. Don't know/unsure
12. Have any of the following been challenges to conducting outreach to and engaging employers as a part of the grant? (Check all that apply.)
    a. Not enough of a pool of employers in the area served that are aware of apprenticeships
    b. Not enough of a pool of employers interested in apprenticeship
    c. Lack of employers hiring
    d. Lack of employer facing shortages of skilled workers
    e. COVID-19 pandemic
    f. Other, please specify: ___
    g. None of the above
    h. Don't know/unsure
13. What are the key obstacles or reservations that employers cite to grantee staff when they are not interested in moving forward to establishing an apprenticeship program? (Check all that apply.)
    a. Employer does not have need to upskill/train workers
    b. Apprenticeship training is too expensive
    c. Apprentices might be hired or "poached" by competitors after completing their training
    d. The employer cannot spare the time of other workers to provide mentorship or on-the-job training
    e. Employer has a training they are currently happy with
    f. The registration process is too complicated
    g. Regulatory compliance costs associated with apprenticeship are too high
    h. Apprenticeship may encourage unionization efforts
    i. Apprenticeship training is more intensive than the training that the employer needs
    j. Business is experiencing instability and/or leadership change
    k. Employers are concerned about liability
    l. Fear of involvement with the government
    m. Other, please specify: _____
    n. None of the above
    o. Don't know/unsure
14. How many employers have been engaged (i.e., those employers that adopt apprenticeship programs as a result of your grant) to date?
    a. _____ employers (as of __/__/__)
15. What is the size of the employers that have been engaged (i.e., those employers that adopt apprenticeship programs as a result of your grant) to date?
    a. Employers have fewer than 25 employees: ___ employers
    b. Employers have between 25 -99 employees: ___ employers
    c. Employers have 100 or more employees: ___ employers
    d. Don't know/unsure
16. How many apprentices have these employers that have been engaged (i.e., those employers that adopt apprenticeship programs as a result of your grant) to date?
    a. Employers currently has 0 apprentices: ___ employers

b. Employers currently has 1-5 apprentices: ___ employers
c. Employers are currently has 6-10 apprentices: ___ employers
d. Employers are currently has 11-25 apprentices: ___ employers
e. Employers are currently has 26-50 apprentices: ___ employers
f. Employers are currently has 51-100 apprentices: ___ employers
g. Employers are currently has more than 100 apprentices: ___ employers
h. Don't know/unsure

17. How many apprentices does the largest participating employer have under the grant?
  a. ___apprentices

18. Please list up to five key employers with which you have the most apprentices enrolled to date under your grant (in order from the employer with the highest number of apprentices). These can be registered and unregistered apprenticeship programs. Please do not include any pre-apprenticeship programs. [Programmer Note; Insert drop down list of all 2-digit NAICS codes for column 2; pipe in occupations listed in B4 for column 3)

Employer's name	Employer's primary industry sector (two-digit NAICS Code)	Occupation(s) of focus for the apprenticeship program	# of Apprentices Enrolled to Date Under Grant (Across All Apprenticeship Programs at Employer)
Employer 1:___			
Employer 2:___			
Employer 3:___			
Employer 4:___			
Employer 5:___			

19. Under the grant, what types of assistance have been provided to employers to help them in planning and initiating apprenticeship programs? Choose any that apply:
  a. Help specifying an occupation that fits the employer's requirements
  b. Help identifying a related technical instruction provider and/or curriculum
  c. Help with training apprentice supervisors
  d. Help developing standards of apprenticeship
  e. Help developing wage structure and schedule
  f. Help completing relevant forms and registering the apprenticeship program
  g. Help communicating with the DOL Office of Apprenticeship or State Apprenticeship Agency and/or handling the paperwork for the employer
  h. Help reporting to RAPIDS or equivalent state reporting
  i. Other; please specify: ___

20. What financial supports been offered to encourage employer engagement using grant funds?
  a. Tuition reimbursement
  b. Reimbursement for on-the-job training costs
  c. Reimbursement for registration costs
  d. Reimbursement for mentor wages
  e. No financial supports offered

21. [If yes to E20b} Under your grant, have you reimbursed any employers (with 50 or fewer employers) for a portion of the apprentice's on-the-job training costs?
  a. Yes
  b. No

F. **APPRENTICE TARGET POPULATION, RECRUITMENT, AND INTAKE**
1. Under the grant, which of the following types of individuals are you targeting? (Check all that apply.)
  a. Unemployed workers
  b. Underemployed workers

      c.   Incumbent workers

      d.   Workers currently employed (but not at apprenticeship sponsor)

2. Under the grant, which of the following populations are you targeting? (Check all that apply.)
   a. Veterans
   b. Military spouses
   c. Transitioning service members
   d. Women
   e. People of color
   f. People with disabilities
   g. People previously involved in the justice system
   h. Public workforce system clients
   i. College students
   j. High school students
   k. Other individuals who are not traditionally represented in apprenticeship programs; please specify: ___
   l. None of the above

3. Under the grant, how has your organization and its partners marketed apprenticeships to prospective participants? (Check all that apply.)
   a. Distribution of flyers, posters or other educational/informational
   b. Program staff outreach presentations
   c. Informational websites
   d. Toll-free informational hotlines
   e. Outreach campaigns using media (e.g., PSAs, TV, radio, newspaper, ads on buses/bus shelters)
   f. Social media (e.g., LinkedIn, Facebook, Twitter, Instagram, etc.)
   g. Direct mail campaigns
   h. Word-of-mouth
   i. Other, please specify: ___

4. What organizations have provided referrals of prospective participants? (Check all that apply.)
   a. Employers
   b. Professional and industry organizations
   c. Unions
   d. Public workforce system (workforce development boards, American Job Centers, WIOA programs)
   e. Secondary (K-12) schools/school districts
   f. Community and technical colleges
   g. Four-year postsecondary institutions
   h. Other postsecondary institutions
   i. Community/faith-based organizations
   j. Re-engagement centers (i.e., to link youth that have dropped out of school back to school or other types of training)
   k. Courts/correctional system/juvenile justice/probation officers
   l. Public and non-profit human service agencies (e.g., TANF, SNAP)
   m. Other; please specify: _____

5. Has there been enough prospective apprentices to fill all the available apprenticeship slots?
   a. More than enough (e.g., waiting lists)
   b. Just enough
   c. Not enough
   d. Unsure

6. What challenges have you encountered in recruiting new apprentices? (Check all that apply.)
    a. Finding eligible participants
    b. Some applicants have insufficient basic skill levels or do not have a high school credential
    c. Some applicants are not interested or motivated to participate in apprenticeship
    d. Apprenticeship period is too lengthy for some applicants
    e. Outreach strategies have not been effective
    f. Partners did not provide a sufficient number of referrals
    g. Some applicants have difficulty getting to the program/employer location
    h. Did not have enough resources for recruitment
    i. Changing economic conditions in the areas has made recruitment more challenging
    j. Other____
    k. No challenges encountered
7. Does your organization, employers, or other partners typically require potential apprentices to provide or undergo any of the following before enrolling in the apprenticeship program? (Check all that apply.)
    a. Written application
    b. Documentation of ability to legally work in the United States
    c. Resume
    d. Documentation of High School Diploma or GED
    e. Academic skill level as determined on assessment
    f. Career aptitudes assessment
    g. Career interest assessment
    h. English language proficiency assessment
    i. Support service needs assessment
    j. Background check for felonies
    k. Background check for misdemeanors
    l. Drug screening
    m. Physical or other medical exam
    n. Occupational skill level
    o. Other (Please specify): _____
8. Where can individuals apply for your apprenticeship programs? (Check all that apply.)
    a. Employers
    b. Grantee
    c. Union/labor organization
    d. Another intermediary
    e. Pre-apprenticeship program
    f. American Job Center
    g. Other (Please specify):_____
9. What types of organizations assist in the intake, screening, and enrollment process for apprentices? (Check all that apply.)
    a. Employers
    b. Labor organization (e.g., union, labor association/labor federation)
    c. Local government agency
    d. State government agency
    e. American Jobs Center
    f. Nonprofit (e.g., community or faith-based) service/training provider
    g. Industry association
    h. Community or technical college
    i. Other (Please specify): _____

G. RELATED EDUCATION AND INSTRUCTION (OR RELATED TRAINING INSTRUCTION) FOR THREE APPRENTICESHIP OCCUPATION PROGRAMS UNDER THE GRANT WITH THE *LARGEST* ENROLLMENT OF APPRENTICES UNDER THE GRANT, PLEASE ANSWER QUESTIONS IN THIS SECTION. [Programmer Note: Pre-load the three apprenticeship programs from Question E18 above for three employers with the three largest number of apprentices enrolled (e.g., Apprentice Occupation #1 for Employers #1, #2, and #3, the apprenticeship programs which have the largest number of apprentices enrolled to date under the grant]

1. For the [Apprenticeship Occupation 1] apprenticeship program, what is the best description of the training model?
   a. Related technical instruction and on-the-job training is concurrent throughout program
   b. Much or most of related technical instruction is taken in the beginning of the apprenticeship before any on the job training
   c. Related technical instruction and on the job training alternate throughout apprenticeship
   d. Other (Please specify): _____

2. Is [Apprenticeship Occupation 1] program registered (with the state apprenticeship agency or USDOL) or unregistered?
   a. Registered
   b. Unregistered

3. What type of apprenticeship program is [Apprenticeship Occupation 1]?
   a. Time-based
   b. Competency based
   c. Hybrid (both time-based and competency-based)

4. What is the typical duration of the apprenticeship?
   a. ___Years ___Months

5. What organizations deliver related technical instruction for the [Apprenticeship Occupation 1] program? (Check all that apply.)
   a. Delivered in-house by employer
   b. Local community or technical college
   c. Labor union
   d. Industry association
   e. Private, for-profit training provider
   f. Community or faith-based organization
   g. Other (Please specify): _____

6. Are any of the following methods used as part of the related technical instruction for [Apprenticeship Occupation 1]? (Check all that apply.)
   a. Accelerated learning modules
   b. Contextualized learning
   c. Team teaching with a technical and adult education instructor
   d. Self-paced learning
   e. Competency-based learning
   f. Prior learning assessments
   g. Technology-enabled learning, such as use of simulators for hands-on practice of skills
   h. On-line teaching/learning that was planned or anticipated before the COVID-19 pandemic
   i. On-line teaching/learning that was introduced as a result of the COVID-19 pandemic
   j. Other (please specify): _____

7. How do related technical instruction instructors in the [Apprenticeship Occupation 1] program determine whether apprentices have successfully mastered requisite concepts? (Check all that apply.)

a. Grades from written tests, presentations, portfolios, etc.
b. Grades in college classes
c. Hands-on demonstration of skills using key concepts
d. Instructor assessment using a rubric or grading system that is different than a written test
e. Other (Please specify): _____

8. What or credentials can apprentices in the [Apprenticeship Occupation 1] program earn over the course of a successfully completed apprenticeship? (Check all that apply.)
   a. Apprenticeship completion credential
   b. Certificate of one year or less awarded by an institution of higher education or other training provider
   c. Certificate of one to two years awarded by an institution of higher education or other training provider
   d. Associates (two-year) degree
   e. Bachelors (four-year) degree
   f. Industry/occupational certification approved by a third party
   g. State license
   h. Digital badge
   i. Other credential #1, please specify _____
   j. Other credential #2, please specify _____
   k. Other credential #3, please specify _____
   l. None

9. Will apprentices in the [Apprenticeship Occupation 1] program receive college credits or hours for any course work they complete as a part of the related technical instruction?
   a. Yes
   b. No

10. What is the total number of related technical instruction hours required for the [Apprenticeship Occupation 1] program? (If there are no required hours, for example, because the program is a competency-based program, please note that zero hours are required.
    a. _____hours

11. Are the credit hours for the [Apprenticeship Occupation 1] program articulated at other colleges? (Check all that apply.)
    a. Yes, for a college certificate
    b. Yes, for an associate degree
    c. Yes, for a bachelor's degree
    d. No

12. What costs for related technical instruction do apprentices in the [Apprenticeship Occupation 1] program pay themselves? (Check all that apply.)
    a. Tuition
    b. Fees, including lab fees
    c. Equipment/tools, including books and supplies
    d. None
    e. Other (Please specify): _____

H. **ON-THE-JOB TRAINING** FOR THE EACH OF THE 3 APPRENTICESHIP OCCUPATIONS USED IN THE PREVIOUS SECTION, PLEASE ANSWER QUESTIONS H1-H6 IN THIS SECTION.
   1. What is the typical duration of the on-the-job training component for the [Apprenticeship Occupation 1] program?

a. __Year(s) ___Month(s)

2. Over the period of the apprenticeship (i.e., over the period indicated in H1), how many total hours would an apprentice typically complete for the on-the-job training component for the [Apprenticeship Occupation 1] program? ___ hours

3. What is the starting and ending (i.e. journeyperson or completion) hourly wage for the [Apprenticeship Occupation 1] program?
   a. Starting wage $_____
   b. Ending wage $_____

4. What milestones trigger increases in hourly wages for the [Apprenticeship Occupation 1] program? (Check all that apply.)
   a. Annual increases
   b. Increases after a certain period of time less than a year
   c. The achievement of a certain set of competencies
   d. Completion of the related technical instruction component of the apprenticeship
   e. Other

5. On average, how large is each hourly wage increase in the [Apprenticeship Occupation 1] program?
   a. _____dollars

6. Do apprentices in the [Apprenticeship Occupation 1] program receive any of the following benefits other than their wages during the apprenticeship program? (Check all that apply.)
   a. Health benefits
   b. Paid sick leave
   c. Paid vacation time
   d. Retirement benefits
   e. Other (Please specify): _____

I. **SERVICES TO SUPPORT APPRENTICE PERSISTENCE AND COMPLETION**

1. Have any limits been placed on a maximum amount of grant funding available to support their persistence and completion (e.g., personal supports, supports for related technical instruction?
   a. Yes; the maximum per apprentice is: $_____
   b. No

2. Using grant funds, have you paid for any supportive services to date?
   a. Yes
   b. No

3. Which types of personal supports do you make available to apprentices under the grant? (Check all that apply.)

Service	Provided by grantee	Provided by a partner
a. Transportation		
b. Childcare		
c. Dependent care		
d. Housing assistance		
e. Needs-related payments that help an individual participate in grant activities		
f. Other (please specify)		

4. Which types of supports do you make available to apprentices to participate in related training instruction under the grant? (Check all that apply.)

Service	Provided by grantee	Provided by a partner
a. Academic advising/counseling		

b.	Tutoring						
c.	Tuition assistance						
d.	Basic skills instruction						
e.	Career counseling/coaching						
f.	Other (specify)						

5. Is there an individual, such as a case manager, counselor, or coach, who is assigned to work one-on-one with each apprentice to support them throughout the program in ways other than OJT mentorship and supervision?
   a. Yes, provided by the grantee
   b. Yes, provided by a partner
   c. No (Skip to I11)
6. What are the responsibilities of the individual assigned to work one-on-one with each apprentice to support them throughout the program with each apprentice? (Check all that apply.)
   a. Apprentice monitoring and or case management
   b. Career counseling
   c. Financial counseling
   d. Monitoring apprentice's satisfaction with employer
   e. Personal counseling
   f. Referrals to services in the community
   g. Other (Please specify): _____
7. Are grant funds used to provide gift cards or other payments to incentive apprentices to provide information on their employment status after they leave the program?
   a. Yes
   b. No

J. PARTNERING ORGANIZATIONS

1. Please list up to five organizations (other than employers) that you regard as your most important partners under the grant and rate their role (1-substantial role, 2-somewhat of a role, or 3-no role) in the following activities:

Partner name	Outreaching, Recruiting, or Referring Individuals for Placement in Apprenticeship Opportunities	Conducting Employer Outreach/ Engagement Activities About Apprenticeships	Helping with Apprenticeship Program or Curriculum Design	Serving as Apprenticeship Program Sponsor	Serving as Pre-Apprentice-ship Sponsor	Related Training Instruction Provider	Support Services Provider
Partner # 1:___							
Partner # 2:___							
Partner # 3:___							
Partner # 4:___							

Partner name	Outreaching, Recruiting, or Referring Individuals for Placement in Apprenticeship Opportunities	Conducting Employer Outreach/ Engagement Activities About Apprenticeships	Helping with Apprenticeship Program or Curriculum Design	Serving as Apprenticeship Program Sponsor	Serving as Pre-Apprentice-ship Sponsor	Related Training Instruction Provider	Support Services Provider
Partner # 5:__							

K. PRE-APPRENTICESHIP PROGRAM(S) FORMED/EXPANDED UNDER THE GRANT [Note: Section is only to be completed by Scaling Apprenticeship Grants – Pre-Apprenticeship is not an allowable expenditure under the Closing the Skills Gap Grants]

1. Does your grant support one or more pre-apprenticeship program?
   a. Yes
   b. No (Skip to Section L)
2. List up to 3 of the largest occupations (by number of pre-apprentices served to date) for which you are operating a pre-apprenticeship program(s), and identify the planned number of pre-apprentices to be served and the number served to date. (Please answer for at least one row.)

	Occupation	Number of pre-apprentices served to date (as of __/__/__)	Has a direct pathway to an apprenticeship program
Pre-apprenticeship occupation 1			
Pre-apprenticeship occupation 2			
Pre-apprenticeship occupation 3			

3. What are the goals of your pre-apprenticeship program(s)? (Check all that apply across all pre-apprenticeship programs.)
   a. To ensure that apprenticeship applicants have basic occupational skills
   b. To serve as a recruitment source for the apprenticeship program
   c. To strengthen occupational training in high schools
   d. To assess the skill levels of future applicants to the apprenticeship program
   e. To make registered apprenticeship more accessible to youth
   f. To strengthen an existing work-based learning program by linking it to registered apprenticeship
   g. Other (Please specify): _____
4. How do individuals apply for pre-apprenticeship program(s) sponsored under your grant? (Check all that apply across all pre-apprenticeship programs.)
   a. Fill out an application
   b. Provide documentation of ability to legally work in the United States
   c. Recommendation by a teacher or counselor
   d. Interview
   e. Other (Please specify):_____
5. Are individual applicants to the pre-apprenticeship program(s) sponsored under your grant required to undergo any of the following screenings? (Check all that apply across all pre-apprenticeship programs.)
   a. Background check for felonies
   b. Background check for misdemeanors
   c. Drug screening
   d. Physical or other medical exam

e. Other (Please specify): _____

6. Are individual applicants to the pre-apprenticeship program(s) sponsored by your grant required to undergo any of the following assessments? (Check all that apply across all pre-apprenticeship programs.)
   a. Basic academic skills
   b. Learning styles
   c. Career aptitudes
   d. Career interests
   e. English language proficiency
   f. Support service needs
   g. Job-readiness or "soft skills" (e.g., problem solving, appropriate workplace behavior)
   h. Life skills (e.g., time management, personal hygiene)
   i. Coping skills
   j. Social skills (e.g., interpersonal skills)
   k. Motivation
   l. Other (Please specify): _____

7. On average, what is the duration in weeks of the pre-apprenticeship program(s)? ____weeks

8. On average, how many classroom hours, including lab time, does pre-apprenticeship training include per week? ____hours

9. On average, how many lab hours are included in the pre-apprenticeship training per week? (Enter "0" if there is no lab.)
   a. ____hours

10. What does the pre-apprenticeship curriculum(s) include? (Check all that apply across all pre-apprenticeship programs.)
    a. Orientation or introduction to an industry/occupation
    b. Approved training curriculum approved by industry standards.
       i. Please specify: _____
    c. Occupational skills
    d. Financial literacy training
    e. Soft/employability skills training
       i. Please specify topics covered: _____
    f. Basic computer skills training
    g. Basic math skills
    h. Advanced math skills
    i. Basic reading skills
    j. Other (Please specify): _____

11. Do pre-apprentices receive certificates for completing or progressing through the program(s)?
    a. Yes
    b. No
    c. It varies by program

12. What methods do you use to help pre-apprentices obtain an apprenticeship? (Check all that apply.)
    a. Formal relationship with labor union
    b. Select strongest candidates for grantee-run registered apprenticeship program
    c. Formal relationship with employers
    d. Pre-apprentices who successfully complete the program are automatically offered an apprenticeship slot
    e. Other (Please specify): _____

13. We do not specifically help pre-apprentices obtain an apprenticeship

14. Does the pre-apprenticeship program(s) expect to place all graduates in apprenticeship slots?
    a. Yes (Skip to K15)
    b. No

15. If you do not expect to place all graduates in apprenticeship slots, why not? (Check all that apply.)
    a. Not enough apprenticeship slots
    b. Pre-apprentices elected to pursue post-secondary education
    c. Pre-apprentices elected to pursue a different type of work-based training program
    d. Pre-apprentice decided to pursue a different occupation
    e. Pre-apprentices found work
    f. Some pre-apprentices disengage from the program
    g. Some pre-apprentices do not meet industry requirements
    h. Other
16. Does your program offer any support services for pre-apprentices?
    a. Yes
    b. No (skip to Section L)
17. Which types of personal supports do you make available to pre-apprentices under the grant? (Check all that apply.)

Service	Provided by grantee	Provided by a partner
a. Transportation		
b. Childcare		
c. Dependent care		
d. Housing assistance		
e. Needs-related payments that help an individual participate in grant activities		
f. Other (please specify)		

18. Which types of supports do you make available to pre-apprentices to participate in education and training activities under the grant? (Check all that apply.)

Service	Provided by grantee	Provided by a partner
a. Academic advising/counseling		
b. Tutoring		
c. Tuition assistance		
d. Basic skills instruction		
e. Career counseling/coaching		
f. Other (specify)		

19. Is there an individual, such as a case manager, counselor, or coach, who is assigned to work one-on-one with each pre-apprentice to support them throughout the program?
    a. Yes, provided by the grantee
    b. Yes, provided by a partner
    c. No (Skip to L)

20. What are the responsibilities of the individual assigned to work one-on-one with each apprentice to support them throughout the program with each apprentice? (Check all that apply.)
    a. Pre-apprenticeship monitoring and case management
    b. Career counseling
    c. Financial counseling
    d. Monitoring apprentice's satisfaction with employer
    e. Personal counseling
    f. Referrals to services in the community
    g. Other (Please specify): _____

L. SUSTAINABILITY AND LESSONS LEARNED
1. Do you anticipate that the apprenticeship programs established with grant funds will continue when your grant ends?
    a. All apprenticeship programs will likely continue
    b. Some, but not all apprenticeship programs will likely continue
    c. None of the apprenticeship programs will likely continue
    d. Unsure
2. If some or none of your apprenticeship programs are likely to continue, why is this the case?
    a. Lack of funding to support the programs
    b. Lack of interest/willingness of employers to continue apprenticeship programs
    c. Lack of interest among populations targeted by apprenticeship programs
    d. Other: (Please specify): _____
    e. Unsure
3. Do you anticipate that the pre-apprenticeship programs established with grant funds will continue when your grant ends? [Note: for Scaling Grantees only.]
    a. All pre-apprenticeship programs will likely continue
    b. Some, but not all pre-apprenticeship programs will likely continue
    c. None of the pre-apprenticeship programs will likely continue
    d. Unsure
    e. Grant funds did not support pre-apprenticeship programs.
4. If some or none of your pre-apprenticeship programs are likely to continue, why is this the case? [For Scaling Grantees only]
    a. Lack of funding to support the programs
    b. Lack of interest/willingness of employers to continue pre-apprenticeship programs
    c. Lack of interest among population targeted for pre-apprenticeship programs
    d. Other: (Please specify): _____
    e. Unsure
5. Have you developed sustainability plans for the apprenticeship programs implemented under the grant?
    a. Yes
    b. Not yet, but plan to develop sustainability plan
    c. No, and no plans to develop sustainability plan
    d. Unsure
6. Do you feel that your sustainability plan and leveraged resources are sufficient to sustain the activities of the grant after the completion of the grant?
    a. Yes
    b. No
    c. Unsure
7. Will partnerships with the following partners be sustained after the grant period?
    a. Postsecondary institutions
    b. Other education and training providers

      c.   Employers
      d.   Industry associations
      e.   Unions
      f.   State Apprenticeship Agency
      g.   CBOs/FBOs
      h.   Secondary

8. To date, what do you consider to be your three most important accomplishments under the grant? [open-ended box]
   a. Accomplishment #1: _____
   b. Accomplishment #2: _____
   c. Accomplishment #3: _____

9. To date, what do you believe to be the main lessons learned from your grant for apprenticeship/pre-apprenticeship program design and operations? [open-ended box]
   a. Lesson #1: _____
   b. Lesson #2: _____
   c. Lesson #3_____

10. Please feel free to add anything else you want to mention in the box below. [open-ended box]
    Thank you for completing this survey. We appreciate your time!

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