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Title 22@ Social Security

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Division 1@ Employment Development Department

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Subdivision 1@ Director of Employment Development

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Division 3@ Employment Services Programs

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Part 1@ Employment and Employability Services

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Chapter 1.5@ Employment Training Panel

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Article 4@ PROGRAM OPERATIONS

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Section 4442@ Record Keeping

4442 Record Keeping

Contractors shall maintain and make available: (1) records that clearly document all aspects of training and retention related to the training program; (2) applicable financial records which document funds received and disbursed, and (3) payroll and personnel records related to the ETP training agreement.

(1)

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(2)

applicable financial records which document funds received and disbursed, and

(3)

payroll and personnel records related to the ETP training agreement.

(b)

All classroom/laboratory training and videoconference training records shall be maintained by job number and shall contain the following elements: (1) Date(s) training occurred (2) Type of training and course title - as identified in the approved curriculum (3) Number of hours trainee was in attendance per day of training - excluding meal breaks (4) Trainer(s) name(s) - typed or clearly printed (5) Trainer's signature - name signed once for each type of training (6) Trainee(s) name(s) - typed or clearly printed (7) Trainees' signatures - name signed on the

first day of training for each type of training (8) Trainee's initials - on first day of training and each subsequent day of training for each type of training

(1)

Date(s) training occurred

(2)

Type of training and course title - as identified in the approved curriculum

(3)

Number of hours trainee was in attendance per day of training - excluding meal breaks

(4)

Trainer(s) name(s) - typed or clearly printed

(5)

Trainer's signature - name signed once for each type of training

(6)

Trainee(s) name(s) - typed or clearly printed

(7)

Trainees' signatures - name signed on the first day of training for each type of training

(8)

Trainee's initials - on first day of training and each subsequent day of training for each type of training

(c)

All computer-based training records shall be maintained by job number and shall contain the following elements: (1) Date system was last accessed for a specific course (2) Type of training and course title - as identified in the approved curriculum (3) Number of hours designated to complete a course (4) Percentage of course completed (5) Trainee name - type or clearly printed (6) Trainee's signature verifying course was completed (7) Signature of an authorized employer

representative, verifying trainee competency attainment in the specified course at completion of the course.

(1)

Date system was last accessed for a specific course

(2)

Type of training and course title - as identified in the approved curriculum

(3)

Number of hours designated to complete a course

(4)

Percentage of course completed

(5)

Trainee name - type or clearly printed

(6)

Trainee's signature verifying course was completed

(7)

Signature of an authorized employer representative, verifying trainee competency attainment in the specified course at completion of the course.

(d)

Contractors shall collect and maintain Structured, On-Site Training (SOST) records by job number and type of training (as identified in the contract Training Plan) that contain the following elements: (1) Date(s) training was provided (2) Trainer's name - typed or clearly printed (3) Trainees' names - typed or clearly printed (4) Trainer's time - completed daily (in increments of not less than 5 minutes). (5) Type of training (6) Trainer's activities as provided in 22 CCR 4400(y). (7) Trainer's signature and date at completion of SOST by type of training

(1)

Date(s) training was provided

(2)

Trainer's name - typed or clearly printed

(3)

Trainees' names - typed or clearly printed

(4)

Trainer's time - completed daily (in increments of not less than 5 minutes).

(5)

Type of training

(6)

Trainer's activities as provided in 22 CCR 4400(y).

(7)

Trainer's signature and date at completion of SOST by type of training

(e)

For SOST, Contractor shall maintain a list of trainees who have achieved competency. This list must be organized by job number, include the type of training and date of competency attainment, and be signed and dated by the trainer(s) and supervisor(s).

(f)

For purposes of items (b), (c) and (d) above, contractor developed documentation forms shall be provided to ETP for approval prior to implementation.

(g)

All records identified in paragraphs (a) through (e) above shall be retained for no less than four years from the termination date of the agreement or three years after final payment under the agreement, whichever is later. (1) If the agreement is partially or completely terminated, the records relating to the performance prior

to termination shall be preserved and made available to ETP for a period of three (3) years from the date of any resulting final settlement. (2) Records which relate to litigation or the settlement of claims arising out of the performance of the agreement, or reimbursable costs and expenses of the agreement as to which exception has been taken by ETP or any of its duly authorized representatives, shall be retained by contractor for a period of 3 years after the final dispositions of such appeals, audits, claims, exceptions, or litigation.

(1)

If the agreement is partially or completely terminated, the records relating to the performance prior to termination shall be preserved and made available to ETP for a period of three (3) years from the date of any resulting final settlement.

(2)

Records which relate to litigation or the settlement of claims arising out of the performance of the agreement, or reimbursable costs and expenses of the agreement as to which exception has been taken by ETP or any of its duly authorized representatives, shall be retained by contractor for a period of 3 years after the final dispositions of such appeals, audits, claims, exceptions, or litigation.

(h)

All records will be retained within the control of the primary contractor and shall be made available for review at the contractor's place of business, within the State of California.

(i)

At the completion of the Agreement, all records identified in item (a)(1) above, whether of the contractor or subcontractor(s), and all records identified in (a)(2) and (a)(3) shall be retained by the primary contractor and be made available for review at the contractor's place of business within the state of California.

(j)

All records shall be open to inspection and shall be subject to being copied by any ETP-authorized representative at any time during the normal business hours of the contractor.

(k)

In the absence of records or supporting documentation necessary to substantiate performance under the contract the contractor may be required to return ETP funds, plus interest.