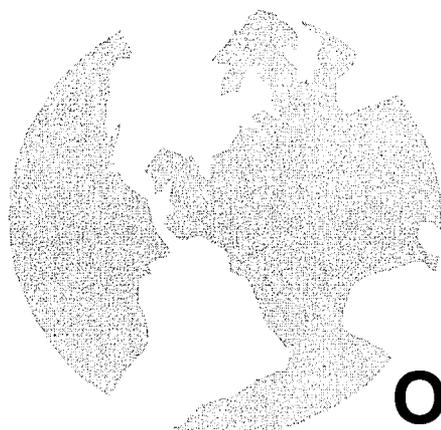




STATE OF CALIFORNIA  
DEPARTMENT OF INDUSTRIAL  
RELATIONS  
DIVISION OF APPRENTICESHIP  
STANDARDS

**AUDIT REPORT**  
**For**



**ORANGE COUNTY SOUND  
TECHNICIAN JAC, FILE # 19791**

*The Division of Apprenticeship (DAS) Mission Statement creates opportunities for Californians to gain employable lifetime skills and provides employers with a highly skilled and experienced workforce while strengthening California's economy*

08 JAN - 9 AM 11:27

DAS RECORDS SECTION  
SAN FRANCISCO

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## SUMMARY

The Orange County Sound Technician Joint Apprenticeship Committee (JAC) program (hereafter "Program") was selected randomly by the Division of Apprenticeship Standards (DAS) for an audit. The audit was performed September of 2007 and was conducted pursuant to California Labor Code §3073.1.

During the initial review by the auditor it was apparent that the Program is a solid apprenticeship program that promotes and supports the training of apprentices and their completion to become qualified journeymen in the industry. The Program provides stability in employment for apprentices as indicated by the On-the-job hours. Indoor and outdoor training space for related and supplemental instruction provides extended hands on learning. The Programs' record keeping system is comprehensive from application to completion of the Program.

### GRADUATION RATES REPORTED

Year	Program	Industry Average	Percent of Industry Average
2000	72.7%	*	*
2001	87.5%	63.03%	138.82%
2002	70.6%	58.37%	120.95%
2003	47.4%	55.14%	85.96%
2004	68.8%	66.73%	103.10%
2005	83.3%	65.32%	127.53%
2006	68.7%	61.63%	111.47%
AVG.	71.29%	61.70%	114.64%

**NUMBER OF REGISTERED APPRENTICES**

DAS Records Based Upon Program's Submittals	57	According to Program	60
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**PROGRAM COMPLETIONS**

*	2000	2001	2002	2003	2004	2005	2006	2007	Total thru 2006
DAS Records	6	8	8	10	10	12	*	*	54
Program Records	5	8	4	9	7	10	10	9	62

**\*The numbers for these years were not available.**

**FINDINGS AND RECOMMENDATIONS**

As noted in the detailed report which follows, the auditor found that minimal actions are necessary to bring the program into compliance with their approved standards and legal requirements. The program is doing an excellent job at keeping apprentices on schedule. The Apprenticeship Office staff, the training facility Coordinators and Instructors keep very structured and accurate records on class attendance and completion of Related Supplemental Instruction (RSI). Accurate records are in place to notify employers of apprentice upgrades and rate increases and apprentices are keeping continuously employed. The program has a structured system for citing and disciplinary actions, including a solid appeal process. The program completions that appear in the chart above show proof that the Orange County Sound Technician Joint Apprenticeship Committee (JAC) is committed helping apprentices reach their goal of becoming a journeyman in the trade. Detailed findings and recommendations are included in this report. The Director of the Program was presented with a summary of the findings and a recommendation was presented to assist him in preparing the appropriate corrective action. The DAS will visit the program in the future to verify compliance with the recommendations.

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## INTRODUCTION/BACKGROUND

On September 6, 2007 and September 12, 2007, the auditor met with key administrative personnel, examined records, observed administrative activities, (September 6<sup>th</sup>), conducted a walk-through of the training facility and visited a job site in connection with the audit (September 12<sup>th</sup>). The Orange County Sound Technician Joint Apprenticeship Committee (JAC) program operates as a Labor/Management Cooperative. The principal partners in the cooperative effort are the members of N.E.C.A. (National Electrical Contractors Association) and members of I.B.E.W. Local #441 (International Brotherhood of Electrical Workers Local 441). The program has an Apprenticeship Trust Fund. The programs' funding mechanism comes from the Collective Bargaining Agreement stipulated contributions of (approximately 90%), and Related Supplemental Instructional (RSI) Funds of (approximately 10%).

### AUDIT HIGHLIGHTS

The review of the Orange County Sound Technician Joint Apprenticeship Committee (JAC) program; Division of Apprenticeship Standards (DAS) file number 19791, (hereafter "Program") found that:

- The Program is a model apprenticeship program with active participation and support by both Labor and Management in all aspects.
- The Program has a solid, efficient recordkeeping system in place.
- The Program provides adequate RSI training.
- Auditor review found that the Program last submitted to DAS standard revisions for wages December 4, 2003.

The Daily operations, management and administrative functions are run by a multitude of staff to include the Director, 1 Assistant Director, and 2 Secretarial office staff. Staff members devote approximately 100% of their time to this apprenticeship program. The Program office is located at 717 S. Lyon Street, Santa Ana, California.

Employers are approved to train when they have completed an Agreement to Train Apprentices, via a DAS-7 form. The Program indicated that they dispatch to signatory union employers who have agreed to abide by the program's standards, rules, regulations and policies.

The apprenticeship program provides a training program for the following occupation:

Name of Occupation	Term of Apprenticeship	Number of Apprentices
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<b>SOUND TECHNICIAN</b>	<b>36 months</b>	<b>60</b>
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The Related and Supplemental Instruction is provided at the programs training center which is located at the same site as the program operations. Each apprentice receives a comprehensive orientation packet that includes the policies, an explanation of program standards and the Apprentice Record book (blue book). Rancho Santiago College is the Program's Local Education Agency (LEA).

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- ☑ The job site review found that the apprentices were supervised and are receiving proper wages for their period of apprenticeship.
- ☑ The program committee meeting minutes does include a listing or formalized motions to approve indentures, advancements, or completions. Extensive language for citations, disciplinary action and evaluations are currently listed and formalized motions are part of current minutes.

## SCOPE AND FOCUS

The principal objectives of the audit was to ensure the program is complying with their standards, that all on-the-job training is performed by a journeyman, that all related and supplemental instruction required by the apprenticeship standards is being provided, that all work processes in the apprenticeship standards are being covered, and that graduates have completed the apprenticeship programs' requirements.

The audit focused on reviewing records and activities that tend to support and substantiate the programs' efforts, practices, system and capabilities to provide and deliver the on-the-job training and related instruction. The programs' policies and procedures were reviewed to determine if they support the programs' approved standards.

## METHODOLOGY

After completing an initial review of the programs' standards and records on file with the DAS, an audit plan was established with the following steps:

1. Notified the program 14 days in advance of our intent to audit.
2. Prepare an entrance interview
3. Organization of all working paper to conduct the interview
4. Confirm the location where records are maintained
5. Conduct a review of all apprentice files
6. Set the time and date of the meeting
7. Schedule inspection of the training facility and job sites
8. Request and review copies of the committee meeting minutes for the last 12 months.

All steps listed above were accomplished and include interviews with primary staff, apprentices and job site supervisors'.

## AUDIT RESULTS

### 1. STANDARDS

The objective is to determine whether the program is submitting periodic revisions to their standards and if standards are reasonably current. "Standards" are a written document containing all terms and conditions for the qualification, recruitment, selection, employment and training, working conditions, wages, employee benefits and other compensation for apprentices. It may also include other provisions and statements. All apprenticeship programs are required to submit their apprenticeship standards to the DAS Chief for approval. The California Code of Regulations states the program must submit revisions to its standards when necessary.

#### **(a) Findings**

(1) The review found that the program had submitted revisions of standards as changes in wages revisions, amendments to the standards, selection procedures and ratio as they have occurred.

The most recent wage revision submitted to DAS was November 27, 2006.

#### **(b) Recommendations**

(1) Continue to review and update standards as necessary. Any further change or revision to standards will require a full revision to be submitted for approval.

*Article IV (5) of the program's standards, Section 205 (f), 212 (a)(6) (7), (c)(2) (11) of the California Code of Regulations states that the program sponsor must submit revisions to its standards when necessary.*

### 2. RULES AND REGULATIONS

The objective is to determine if the program has adequate rules and regulations, are implementing them as required, and providing a copy to the apprentices. The rules and regulations can be defined as an orientation or workshop session that explains the apprenticeship program standards and the operation of the apprenticeship program. It includes information on what is expected by both the program and the apprentice.

#### **(a) Findings**

(1) The Orange County Sound Technician Joint Apprenticeship Committee has in place defined rules and regulations that are referred to as "Program Policies". When the applicant is approved

by the program to enter the apprenticeship program and before dispatch to an employer, he/she is given a copy of the "Program Policies" during an orientation provided by the program Director or Assistant Director. At this time, the apprentice must sign the "Program Policies" indicating they have received, read and understood the rules and regulations of the Apprenticeship Program.

(2) The rules and regulations for this program were adopted and contain a policy statement showing responsibilities of the Apprentice and the Apprenticeship Committee.

(3) The Audit review found that all apprentice files contained signed copies of "Program Policies" in the apprentices' individual file.

(4) The Audit review found that all apprentice files contained copies of letters with class scheduling, citations, committee actions, evaluations, progress, and apprentice correspondence as pertinent to the individual's status.

### **(b) Recommendations**

(1) Distribute a new packet of rules and regulations (Policies) to each apprentice and retain a copy of a signed receipt in each Apprentice file when new policies are added and/or deleted (changed.)

(2) Continue with current record keeping system of each Apprentice.

*Article VI (2) of the program's standards, Section 3071, 3073, and Section 212 (a) (6) (7), (c) (2) (3) (8), (14) of the California Code of Regulations states that the program must establish rules and regulations that govern the program.*

### **3. ACTIVE APPRENTICES AND CANCELLATIONS**

The review of this item is to determine if the program is monitoring apprentices as they enter and proceed through the program. It is also to determine if the program is maintaining accurate records on both the active and cancelled apprentices. The program should have the ability to provide evidence of procedures used for periodic reviews and evaluation of the apprentice's progress in job performance and related instruction and maintenance of appropriate progress records. In addition, the program should have a process in place to notify the DAS when an apprentice leaves the program.

**(a) Findings**

(1) The program has a very structured and systematic way for indenturing apprentices as well as monitoring the apprentice through his/her entire program.

(2) Evidence was abundant that the apprentice citations, periodic reviews, disciplinary actions, and evaluations are in place as well as progress records.

(3) Apprentices are cited for failure to follow the rules and regulations. A letter of citation is mailed to the apprentice to appear before the committee. Failure to appear results in a 2<sup>nd</sup> and final citation to appear to show cause why the apprentice should not be cancelled. Failure to appear at the 2<sup>nd</sup> and final citation is reason to recommend cancellation from the program for failure to comply with a committee directive.

(4) On-the-job work process hours are scanned and updated into the computer system on a monthly basis. Work process hours along with total OJT hours are always available on the apprentice history report.

(5) Advancements, citations, disciplinary action, cancellation and appeal process letters are a part of the apprentice's file.

(6) The program utilizes the DAS 5 form for notification of cancellations as well as communication for voluntary withdrawal from the program to DAS.

**NUMBER OF REGISTERED APPRENTICES**

DAS Records Based Upon Program's Submittals	57	According to Program	60
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**PROGRAM COMPLETIONS**

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DAS Records	6	8	8	10	10	12	*	*	54
Program Records	5	8	4	9	7	10	10	9	62

**\*The numbers for these years were not available.**

**(b) Recommendations**

- (1) The program should continue to keep the DAS informed of indentures, cancellations and completions in a timely manner.
- (2) The program should continue to monitor the apprentice progress in the program.

*Section 205 (a)(1)(2) (i), 212 (a)(6) (7)(8), (b)(9), (c)(2)(10) 224 of the California Code of Regulations states that the program sponsor must maintain accurate apprenticeship records and submit changes, updates and revisions of an apprentice's status when necessary.*

**4. ON -THE JOB TRAINING (OJT) PROGRESS RECORDS, ADVANCEMENTS AND EVALUATIONS**

The review is to determine if apprentices are progressing on schedule, that the program is maintaining adequate OJT records, receiving periodic evaluations and if the program has an adequate records and a system in place to ensure that apprentices are covering all the work processes.

The program uses the following items to track apprentice's schedule, OJT records, periodic evaluations and work processes:

- The apprentice must abide by the requirements set by the program and the terms of the Collective Bargaining Agreement.
- DAS Apprentice Record Book (blue book) is used to verify work processes and track work hours. The blue book must be signed by the employer or employer representative. All apprentices fill out a monthly form and transfer their hours from the blue book and submit. The original blue book stays in the possession of the apprentice. Apprentice must carry blue book at all times and are subject to visual inspection by the Director, Assistant Director, Instructors, Employers or the Apprenticeship Committee.
- Additional monitoring of comparing blue book hours to actual trust funds hours are in place by Director. Discrepancies warrant citation before Committee. Additionally, if it is discovered an apprentice is lacking experience in one of the work process areas an attempt to find appropriate employer is initiated.
- School Evaluation forms from the instructor are logged in the computer at end of each semester. Apprentice class attendance is logged daily.

- The employer may provide work evaluations every six months. The program notifies the employer and apprentice when advancements are earned insuring timely upgrades and employer being aware of proper rates of pay and benefits.
- When an apprentice has reached the appropriate amount of RSI and On-the-Job hours, a letter is automatically generated for Advancement in period of apprenticeship.
- Related and Supplemental Instruction (RSI) attendance is monitored on a daily basis by the Director and Secretarial staff.
- To keep the apprentice on schedule the Program will generate written notices on class schedules, employer letters and evaluations.
- Apprentices failing to meet requirements or any violation of Program Policies are cited to the next Committee meeting.
- Failure to comply with Committee 1<sup>st</sup> citation results in 2<sup>nd</sup> citation to show cause why the apprentice should not be dropped from the program.

**(a) Findings**

(1) The auditor found verifiable documentation for Related and Supplemental Instruction, advancements, citations, disciplinary actions and correspondence from the apprentice.

**(b) Recommendations**

(1) The program sponsor should continue maintaining existing procedures in place to document and file attendance, advancements, citations, disciplinary actions, employer evaluations and correspondence from all parties to include the apprentice, employer or committee.

*Section XVII of the program's standards, and Section 3073.1, 3076, 3078(e) of the Labor Code, and Sections 208, 210, 212(a) (4) (5) (7) (8), (b) (9), (c) (2) (6) (8) (9) (16) (18), of the California Code of Regulations. The program must offer training and supervision in all the work processes defined in its standards and has a system to ensure that apprentices cover all the work processes. The program must have a system of documenting and maintaining records that will assist in the review and evaluation of the apprentice's progress in job performance. The program must have a procedure for recording and maintaining accurate records, and a procedure for periodic review and evaluation of progress.*

## 5. RELATED AND SUPPLEMENTAL INSTRUCTION (RSI)

The objective was to determine if apprentices are progressing on schedule, attending classes, covering the entire course of study, and to ensure the program is maintaining accurate records with adequate systems in place to provide training.

The program has Related and Supplemental Instruction (RSI) and a Local Education Agency (LEA) which is in Santa Ana, California. The program is assigned the oversight of the Related Training Curriculum in cooperation with the National Joint Apprenticeship & Training Committee (NJATC). The classroom training center is located at the same location as the program.

The apprentice files and computerized print outs included records of attendance, classroom hours, grades and evaluations/grade reports from the instructor. The apprentices attend a minimum of 160 hours of instruction. Each student is issued a calendar with the schedule of classes as well as postings in each classroom. Classes start promptly at 8:00 A.M for a eight (8) hour period. Week-end classes start promptly at 8:00 A.M. Saturday mornings. The Saturday classes may be of four (4) or eight (8) hour duration.

Apprentices are required to sign in and out of class. An apprentice is required to attend all classes and lab sessions as scheduled. Any absence must be made up within twenty-one (21) days of the absences or be subject to disciplinary action. The program has several tracking systems in place to monitor the progress of the apprentice.

### **(a) Findings**

- (1) In addition to book and computer instruction, the Program is providing hands on training in the classroom lab.
- (2) The program is providing the appropriate courses and hands on training for this occupation.
- (3) The review found the program is doing an outstanding job of monitoring the apprentice progression through the required Related and Supplemental Instruction.

### **(b) Recommendation**

- (1) Continue with the outstanding job of providing a variety of training both in the classroom and in the class lab.

*Section XVI of the program's standards, Section 3073.2, 3078(d), of the California Labor Code, and Section 205(e)(h), 212(a)(3)(6)(7) (c)(13)(14) of the California Code of Regulations states that it is recommended that the program provide a minimum of 144*

*hours per year of supplemental instruction for each year of apprenticeship and adequate arrangements for related and supplemental instruction, and have the ability and commitment to train apprentices with current industry standard criteria.*

## **6. TRAINING CENTER**

The objective is to ensure the program has adequate facilities, tools, materials and equipment to train apprentices, and to determine if the facilities are utilized and adequate for training.

There is one (1) certified instructor in this program. The instructor is a dedicated full-time instructor. During the visit classes were in session during the time of the audit. The auditor toured the training center with the Director. The auditor spoke to the Director who reviewed his records with us. The training center is located adjacent to the program office. The training center consists of 8 (eight) large classroom and 10 (ten) shop labs. Each apprentice must complete a variety of shop projects and show competency in applying the trade. The instruction is done with good health and safety practices in mind.

### **(a) Findings**

(1) The inspection of the training facility found it to be outstanding in the variety of avenues providing classroom and hands on training to apprentices.

### **(b) Recommendation**

(1) The program should continue practices with the current successful model.

*Section 3074 of the California Labor Code—Section 212(a) (3) (4) (8), (c) (13) (12), 212.3 of the California Code of Regulations states that the program sponsor must have adequate arrangements for related and supplemental instruction.*

## **7. MECHANISM TO KEEP APPRENTICES REASONABLY EMPLOYED**

The objective was to determine if apprentices are kept reasonably employed, to ensure the program has adequate systems in place to rotate apprentices so they cover all work processes, and to provide apprentices with continuing employment in the event of a layoff.

The review found the program has an established system to keep apprentices reasonably employed and to provide them with continuing employment in the event of a layoff. Apprentices are dispatched from the List of Available Apprentices. All Job Placement is by the Joint Apprenticeship Committee and the International Brotherhood of Electrical Workers Local 441 office. It is the apprentices' responsibility to keep the JAC office advised of any phone or address changes that may occur.

### **(a) Findings**

(1) The records found the referral/dispatch system keeps the apprentices employed within their industry. They are also referred to other employers, giving the apprentice an opportunity to train in all work processes.

(2) The auditor found that the Program provides continuous employment for nearly 100% of apprentices.

### **(b) Recommendation**

(1) The program should continue the successful system established.

*Section 3080 of the Labor Code, and Section 212 (b) (7) (9), (c) (16) (18) of the California Code of Regulations. The program(s) must have a mechanism to keep apprentices reasonably employed and maintain accurate documentation Section 3080 of the Labor Code, and Section 212 (b) (7) (9), (c) (16) (18) of the California Code of Regulations.*

## **8. JOB SITE VISIT**

A review of the job site offers an opportunity to view a job in progress, observe the work that is being done, and allows the auditor to discuss the operation of the program with the apprentice. It enables direct contact with the apprentice to determine the following:

- If the apprentice is performing the various task listed within the work processes of their trade.
- If advancements are made on schedule.
- If the apprentice is receiving the correct pay and benefits.
- If the apprentice is kept employed on a reasonably continuous basis.
- If the programs' mechanism to keep apprentices reasonably employed is adequate.

The program suggested one job site location to visit. Arrangements were made with the contractor regarding the date of the job site visit.

The auditor visited the jobsite located at 6855 Irvine Center Drive, Irvine, California 92618 and found three (3) apprentices working under the supervision and direction of a journeyman (Foreman)

All three were employed at tasks defined within the work processes of the program standards.

Interviews were conducted with the three apprentices and found they have the equipment, materials and tools of the trade sufficient to train apprentices. Each apprentice receives proper pay and benefits and attends RSI classroom training. The interviews confirmed apprentices are advanced on schedule. The auditor confirmed that each apprentice writes in the total hours of training in the apprentice record book. The book is signed by the job site supervisor validating the work processes and OJT hours. Apprentices maintain possession of their blue books and had them on the jobsite. The apprentices state they rely on their classroom instructor and journeyman to ensure they are completing a work process and OJT work hours. The interview with the supervisor confirmed there is a proper ratio of journeyman to apprentice and adequate supervision.

**(a) Findings**

(1) The auditor found that all apprentices are receiving training in a variety of work processes and are being properly paid for their current period of apprenticeship.

**(b) Recommendations**

(1) None

*Section 208, 212(a) (1) (2) (4), (b) (4) (5) (6), (c) (6) (13) (14) of the California Code of Regulations states that all on-the-job training will be performed by journeymen, that all related and supplemental instruction required by the apprenticeship standards will be provided, that all work processes in the apprenticeship standards are being covered, and that graduates have completed the apprenticeship program's requirements.*

**9. SELF-ASSESSMENT REVIEW AND PROGRAM IMPROVEMENT PLAN**

The objective is to determine if the program has submitted the annual Self-Assessment Review and Program Improvement Plan. The California Code of Regulations Title 8, Section 212.3 requires programs to perform an annual self-evaluation and to create an improvement plan. The DAS now requires that each program submit a copy of their Annual Self-Assessment Review and Program Improvement Plan to their apprenticeship consultant by December 1 of each year.

**(a) Findings**

(1) The required annual Self-Assessment Review and Program Improvement Plan was submitted in a timely manner for 2006.

**(b) Recommendations**

(1) Continue to complete and submit the Annual Self-Assessment Review and Program Improvement plan yearly as required.

(2) Use the Self-Assessment and Program Improvement Plan as a tool for setting goals for your program.

*Section 212 (a) (6) (7), (c) (2) (11), 212.3 of the California Code of Regulations states that the program sponsor must submit annually a Self-Assessment Review and Program Improvement Plan to the DAS.*

## **10.COMMITTEE MEETINGS AND MINUTES OF MEETING**

Joint apprenticeship committees have equal representation from labor and from management. The committee also includes a consultant representing the Division of Apprenticeship Standards. There is also an advisor from the local public school district and such other advisors and the apprenticeship consultant act without vote. This committee is responsible for administering the Standards for this program. In carrying out its functions, the committee has certain authority under the law. The actions, therefore, must be in accordance with approved apprenticeship standards and should be recorded in the minutes.

The objective is to determine if the apprenticeship committee is meeting on a regular basis, documenting actions, discussing and reviewing apprenticeship records, and making appropriate assessments and evaluations.

The committee provided Program meeting minutes for the past year.

The Orange County Sound Technician Joint Apprenticeship Committee (JAC) meets monthly. The Program Committee documents actions, discusses apprenticeship records and makes recommendations in monthly meeting minutes. The Program Committee consists of three (4) Labor Representative and three (4) Management Representatives. The committee also includes the Division of Apprenticeship Standards Consultant and the Local Education Agency Representative (LEA).

### **(a) Findings**

(1) The review of the Committee minutes for the last 12 months found disciplinary actions and evaluations. Documentation of indentures, or advancements to include Journeyman status was noted.

### **(b) Recommendations**

(1) Continue with the process in place of maintaining adequate documentation and records.

Section 3076, 3080(b), 3078(d)(f), 3079, 3093(k), of the California Labor Code, and Section 213, 218, 212(7), 208(5), 205(e)(f)(g)(i), 212(c)(1)(6) (9), 224 of the California Code of Regulations states that the program sponsor must maintain adequate documentation and records.

## 11. COMMENTS FROM PROGRAM SPONSOR

Comments, if submitted by the program sponsor during the 14-day review and comment period, will be included with this report to the Chief of DAS and ultimately to the California Apprenticeship Council.

## 12. CORRECTIONS AND TIMELINE

The audit findings and recommendations are set forth in this report. The program has 14 days from the receipt of this report to review and submit comments on the report.

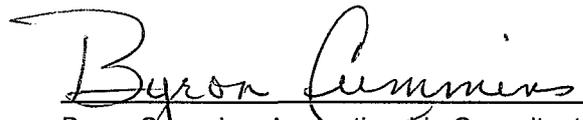
Within 10-days following the receipt of comments or the completion of the comment period, a final report will be submitted by the Chief of DAS to the California Apprenticeship Council.

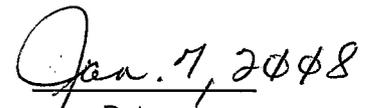
The final report will detail the findings with recommendations for remedial actions. The programs must remedy all deficiencies and be in full compliance with their apprenticeship standards. The programs must notify the DAS in writing when deficiencies have been remedied. A DAS representative will schedule an appointment to review the completion of the remedial actions. Failure to comply may be grounds for withdrawing state approval of the apprenticeship programs.

## 13. REMARKS

The results of this audit do not modify, replace or negate other duties and requirements or any previous notices you may have received regarding the fulfilling of your obligations prior to or after the audit period. In addition, law changes or new rulings might result in different findings in future audits.

Respectfully submitted by,

  
Byron Cummins, Apprenticeship Consultant  
Division of Apprenticeship Standards

  
Date