

INDIVIDUAL TRAINING ACCOUNTS

EXECUTIVE SUMMARY

The purpose of this policy is to provide guidelines for implementing Individual Training Accounts (ITA) that are flexible and maximizes informed customer choice in the selection of an eligible training provider. This policy sets the training limit amount and duration of ITAs for eligible individuals funded under the WIOA/Non-WIOA programs within Monterey County WDB. This policy specifies that training is only provided for the high demand/high growth industries identified in this policy. Training services may be made available to eligible WIOA Title I eligible adults, dislocated workers and out-of-school youth (ages 18-24) and Non-WIOA participants who have meet eligibility requirements.

REFERENCES

WIOA Section 134(c)(3); Title 20 Code of Federal Regulations (CFR) Sections 680.200-230, Training Services; Title 20 CFR Sections 680.300-350, Individual Training Accounts; Title 20 CFR Sections 680.400-530, Eligible Training Providers; Title 20 CFR Section 680.310, Amount or Duration Limits on ITAs; Employment Development Department (EDD), Workforce Services Directive (WSD) 15-07, WIOA Eligible Training Provider List – Policy and Procedures; EDD WSD14-1, Training Expenditure Requirements; Training and Employment Guidance Letter (TEGL) 19-16, Guidance on Services Provided Through the Adult and Dislocated Worker Programs under WIOA; TEGL 21-16, Third WIOA Title I Youth Formula Program Guidance

PROCEDURAL GUIDANCE

The following must be adhered to prior to training being authorized for WIOA/Non- WIOA clients.

I. Identification of Need for Training:

1. **Initial Determination** – Completion of an interview, comprehensive and specialized assessments (including WorkKeys); Individual Employment Plan (IEP) for adults/dislocated workers and Individual Service Strategy (ISS) for out-of-school youth (ages 18-24); and career planning;
2. **Labor Market Research** – Completion of labor market research to substantiate the request for training assistance for a particular occupation/career that is directly linked to employment opportunities, within the WDB's five (5) priority industry sectors (Agriculture, Tourism & Hospitality, Education & Research, Health & Social Assistance, and/or Construction);

3. **Informed Customer Choice** – WIOA participants must complete prior to being approved for training, review of ETPL provider list, research trainings that are linked to in-demand occupations, performance of relevant training providers listed on the Eligible Training Provider List (ETPL) in CalJOBS, and is coordinated to the extent possible with other resources to maximize informed customer choice;
4. **WorkKeys Assessments** – Completion of the WorkKeys core assessments (Applied Math, Graphic Literacy, and Workplace Documents) must be done prior to training. Career Ready 101 pretests may be administered to pre-screen the readiness of a participant to take the WorkKeys core assessments. Career Ready 101 online training may also be provided to participants to help improve their scores. Participants who achieve a score level of 3 or higher on all three WorkKeys core assessments will qualify to receive a National Career Readiness Certificate; and
5. **Financial Assistance** – Completion of a program pre-training budget to determine if other training options and funding sources are considered and exhausted prior to utilizing WIOA/Non-WIOA training funds, and if applicable, completion of the FAFSA online www.fafsa.ed.gov.

II. CalJOBS Application, Enrollment & Documentation: Upon completion of the determination of need for training, the following steps must be completed, prior to the submission of an ITA:

1. **Participant Training Commitment Form** – Participants must agree and sign this form and provide
2. information on their labor market and training program/provider research.
3. **Master Agreement and Authorized Signature Form** – verify if the selected training provider has a signed and active Master Agreement and Authorized Signature Form on file with the WDB.
4. **CalJOBS Application, Activities and Case Notes** – Ensure participant's WIOA/Non-WIOA application is complete and accurate in CalJOBS, and the appropriate activity codes are entered into CalJOBS (including case notes for each service/activity).

III. ITA Authorization Approval: The following general rules, sequence and timeline must be followed to ensure adequate review time prior to final approval of all ITA Contracts and Invoices:

1. **ITA General Rules** –
 - a. All ITA Contract documents must be completed and approved prior to commencement of any training program.
 - b. All ITA Contract documents must be submitted to the WDB Fiscal Manager via email for review and approval to obligate funds, ten (10) days prior to the start of training.
 - c. Under no circumstance will the participant begin training without an approved and signed ITA Contract in place.
 - d. No ITA Contract will be issued, approved or paid retroactively for any WIOA participant previously enrolled in training by an ETPL training provider, prior or concurrently to their enrollment into a WIOA/Non-WIOA program.
 - e. ITA funds must be dedicated toward training in the WDB's five (5) priority industry sectors: Agriculture, Tourism & Hospitality, Education & Research, Health & Social Assistance, and/or Construction.
 - f. The maximum dollar limit for training is \$5,000. This amount must be used for tuition related fees and other costs, such as: books, licenses, tools, equipment, safety gear, drug testing, testing fees, certification fees, student association fees, and uniforms.
 - g. The duration of training shall not exceed twelve (12) months.

Any exceptions to the general rules stated above, must have the approval of the WDB Finance Manager and WDB Executive Director, and may only be granted on a case-by-case basis due to extreme financial hardship, by following the ITA Waiver process under section IV. of this policy.

2. **ITA Sequence and Timeline** –
 - a. **ITA Contract and Invoices** – must be completed and emailed to the WDB Fiscal Manager, ten (10) days prior to the start date of training.
 - b. **WDB Fiscal Manager Pre-Approval & Obligation** – Within two (2) working days upon receipt of the ITA Contract and Invoices, the WDB Fiscal Manager, shall review and approve the contract, obligate the funds for training, and return the contract to the originating WIOA/Non-WIOA service provider (counselor) via email, confirming approval of the ITA.

- c. **WIOA/Non-WIOA Supervisor and ETPL Training Provider Approval** – Upon receipt, the WIOA/Non-WIOA service provider (counselor) shall forward the ITA Contract and Invoices for approval to the WIOA/Non-WIOA supervisor and ETPL training provider and then return the signed ITA back to the WDB Fiscal Manager via email within two (2) working days.
- d. **WDB Fiscal Manager Final Approval** – Within two (2) working days upon receipt of all ITA Contracts, the WDB Fiscal Manager will review and approve/deny the ITA Contract and notify the WIOA/Non-WIOA service provider (counselor) if the ITA Contract has been approved or denied.

IV. ITA Waivers: Waivers must be completed and emailed to the WDB Fiscal Manager should any difficulties arise with meeting the ITA general rules, sequence and or timeline. Within two (2) working days upon receipt of the ITA Waiver and Contract, the WDB Fiscal Manager and WDB Executive Director will review and approve/deny the ITA Waiver and notify the WIOA/Non-WIOA service provider (counselor) if the ITA Waiver has been approved or denied.

V. ITA Deobligations: In the event, the ITA Contract needs to be deobligated, an ITA Deobligation with justification explaining the reason for the deobligation must be completed, signed and submitted to the WDB Fiscal Manager with the ITA Contract.

VI. Recovery of ITA Tuition Funds: In the event a participant discontinues training; the WIOA/Non-WIOA service provider (counselor) must conduct due diligence to ensure the recovery of WIOA/Non-WIOA funds provided to training institutions. WIOA/Non-WIOA service providers (counselors) must verify the following:

- a. The refund policy of the training provider for early termination from the training program;
- b. A requirement for the training provider to notify the WIOA/Non-WIOA service provider (counselor) of early participant dropout;
- c. The percentage of the advanced payment to be returned;
- d. Turnaround timeframe for the refund; and
- e. Time spent in training before a refund will no longer be honored.

VII. Confirmation of Participant Training & Documentation: Upon receipt of the completed and signed ITA Contract, the WIOA/Non-WIOA service provider (counselor) shall confirm with the participant the start of training and document the enrollment into the CalJOBS system, (including case notes for each service/activity), as appropriate.

VIII. Payment of ITA Invoices: ITA Invoices shall follow a 40%/50%/10% submission and payment process, where each % represents the amount of the participant's ITA Contract to be paid. All invoices must include proof that performance outcomes have been met in accordance with the participant's ITA Contract and Invoices. Independent reviews and validation of all invoices and documentation of performance outcomes shall be done by the WIOA/Non-WIOA service provider (counselor) before submitting the invoice and documentation to the WDB Fiscal Office to process for payment. Payment will be made to the training provider within thirty (30) days from the receipt of invoice from the WIOA/Non-WIOA service provider (counselor). The WDB will reallocate the remainder of total participant ITA Contract funds not paid to training provider if achievement of the participant's ITA Contract goals are not met.

INQUIRIES

If you have questions please contact staff at (831) 796-6434. This policy is posted on the WDB website located at: www.montereycountywdb.org/policies/

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Monterey County Workforce Development Board