Individual Training Account Guidelines

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Alabama Department of Commerce

Workforce Development Division

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Foreword

These guidelines have been developed through a joint staff effort between staff of the Alabama Department of Commerce, Workforce Development Division (WDD), and Alabama Career Center staff within the State of Alabama. The policies contained herein are intended to guide Alabama Career Center staff in developing and properly managing the Individual Training Account process.

These guidelines are intended for use by the State of Alabama Career Center staff to provide the highest quality services to customers. This guide **replaces all previous Individual Training Account Guidelines distributed by Alabama Department of Economic and Community Affairs (ADECA), Governor's Office of Workforce Development (GOWD), and Skills Consortia.**

In cases where participant services may be improved through exceptions to provisions of these guidelines and when those exceptions do not violate Federal, State, or Local Area policy, the Alabama Career Center staff are encouraged to make requests for exceptions on behalf of their customers.

I. Introduction

An Individual Training Account (ITA) is an account established by the Alabama Workforce Development Board on behalf of Workforce Innovation and Opportunity Act (WIOA) participants to assist them in the attainment of Training Services. The Youth, Adult and Dislocated Worker funds available under the Workforce Innovation and Opportunity Act are used to purchase Training Services from eligible Training Providers selected by participants in consultation with Alabama Career Center staff through development of the Individual Employment Plan or Individual Service Strategy (IEP/ISS). These funds are received by the State and allocated to the Local Workforce Development Boards (LWDB). The LWDB set policy for the local workforce systems within the local areas, with the agreement of the chief elected official (the Governor). The Workforce Development Division (WDD) staff serve as the administrative entity for five of the seven Local Workforce Development Areas. The five local areas, known as the Governor's Local Workforce Areas, include: North Alabama Works (Area 1), East Alabama Works (Area 2), West Alabama Works (Area 3), Central Alabama Works (Area 5), and Southeast Alabama Works (Area 6).

Priority of services is given to Veterans and other individuals eligible for veteran's services. In addition, the State has implemented a policy to ensure Adult program funds provide a priority in the delivery of training services to individuals who are low income adults without significant work history, public assistance recipients, and who are basic skills deficient.

ITAs are also provided through the State level using Governor 's Setaside Funds. These ITAs are linked to Dislocated Workers who have received services from the State's Rapid Response Team. These guidelines are also to be used on a statewide basis when Governor's Setaside

Funds are being used to finance an ITA, and when ITAs are being financed from funds made available to the State from National Dislocated Worker Grant (DWG) funds to serve Dislocated Workers. For the purposes of these guidelines, "ITA" will be used when referring to an Individual Training Account for any funding source (Adults and Dislocated Workers or Youth).

The WIOA defines Career Planning as the provision of a client centered approach in the delivery of services designed:

- to prepare and coordinate comprehensive employment plans for participants to ensure access in necessary workforce development activities and supportive services, using, where feasible, computer-based technologies; and
- to provide job, education, and career counseling, as appropriate during program participation and after job placement.

WIOA Training Services, including ITAs, are not entitlements. Selection of ITA applicants for enrollment into the ITA program is the responsibility of Alabama Career Center staff and the need for training must be indicated through the assessment process and documented in case notes and the IEP/ISS. This document provides instruction and guidance to Alabama Career Center staff to clarify their responsibilities regarding the provision of services to all Career Center customers. Any questions arising should always be directed to the immediate supervisor for resolution and then up the chain of command, if necessary.

II. Participant Decision Making Process

A key principle of the Workforce Innovation and Opportunity Act is empowering participants to

take a greater role in the development of Individual Training Accounts (ITA). Participants are empowered by information made available through the Alabama Eligible Training Provider List (ETPL) where they can view performance information, training costs, and cost comparison information. Additionally, participants are empowered through a state and nationwide labor market information and labor exchange system available through the internet and linked to various websites frequented by job seekers. Finally, participants are empowered through the expert advice, guidance and support of Alabama Career Center staff and One-Stop Partners. The Career Center staff assists the participant in analyzing available labor market and training data to make a responsible decision regarding a suitable occupational training program that best meets their occupational goals and personal needs.

Participants can be served at any Career Center location without regard to residence. Every Career Center can submit requests for training to any eligible WIOA Training Provider. Participants will not be sent from one Career Center to a different Career Center for services from a training provider inside the second Career Center's service area. Likewise, participants will not be shuffled from one Career Center to another to determine availability of funds. If needed funds are not available, Site Managers should contact their Area Management Team and request additional money. In the unlikely event funds are still unavailable, participants will be placed on a waiting list in the order of the date they completed the eligibility and pre-registration packet with priority of service considered for enrollment.

Individual Training Accounts may be provided to Youth, Adults, and Dislocated Workers who have been determined eligible through the state and local area priority system. To be eligible for training services, Adults and Dislocated Workers must demonstrate a lack of in-demand occupational skills that would allow them to obtain or retain employment in a high wage, high demand occupation leading to economic self-sufficiency. The need for upgraded skills (acquirable through training services) will be documented in the IEP/ISS and case notes. Adults and Dislocated Workers are not required to receive a sequence of services before being

considered for Training Services, but will receive sufficient services, including suitability and academic assessments, and preregistration activities to determine their training needs. While youth do not receive basic and individualized career services, they will receive adequate youth services to prepare them for training, following their career pathway leading to self-sufficiency.

Alabama Career Center staff must determine, based upon a comprehensive assessment, that the participant needs Training Services and possesses the skills and qualifications necessary to successfully complete Training Services. Comprehensive Assessment includes an in-depth interview, a diagnostic assessment of academic and occupational skill levels, aptitude and interests, and the development of an IEP/ISS.

The Test of Adult Basic Education (TABE) 11/12 Locator Test will be used to test potential participants for Adult, Dislocated Worker and Youth ITA training slots. The individuals tested must score in the “M Level”, “D Level” or “A Level” of the TABE 11/12 Locator Test to be considered for training. Those individuals who score in the “E Level” or “L Level” will be referred to Adult Education classes to remediate. Once they raise their Locator Score to “M Level”, they may be served. The Locator can be administered as many times as necessary for a participant to achieve the “M Level”. However, the applicant should be remediating their deficiencies prior to retesting. Youth participants must take the full battery “M level” TABE to record the assessment score in the online database.

Potential ITA participants who score “M Level”, “D Level” or “A Level” can be considered for training regardless of curriculum. However, Training Providers may have additional enrollment requirements or prerequisites that must be met for individuals to be accepted into a program of study.

When the comprehensive assessment indicates Training Services are appropriate, the Case Manager initiates the ITA process. As participants progress through training, the IEP/ISS and case notes are continuously updated and amended to record the participant's work toward the stated goals.

All Alabama Career Centers must have pre-registration activities/packets designed to assist in the career exploration portion of comprehensive assessment that identifies a career pathway for a potential participant. Participants will be given a deadline for completing and returning their preregistration packets and must adhere to the deadline if they expect to enter training in the semester requested. These activities may include workshops, completing forms/questionnaires on labor market information relative to the chosen training field, time management seminars, bringing in their college catalog, going over their course requirements with a case manager, taking prerequisite courses, completion of remedial courses on their own and many others.

The comprehensive assessment and the resulting IEP are the determining factors in the decision to provide an individual training account. While WIOA is not an entitlement program, there are no hard and fast rules regarding previous training/education programs completed by the participant. There is no such thing as "one and done" in determining whether to provide additional training. WIOA focuses strongly on career pathways. There may be several stackable credentials along the way to attaining a career goal. i.e. If you have trained an individual as a CNA/PCT and they have worked in that field but come to you a year later needing assistance to complete an LPN degree and they are eligible for WIOA services, you may certainly provide those services as appropriate.

Likewise, having a degree, even a four-year degree, does not automatically exclude an

individual from receiving an ITA. They may have received a degree in a non-demand occupation. A job search career service would determine if jobs are available in the individual's field of training. Also, in today's world of fast-moving technology, technical skills learned more than two or three years ago may already be obsolete. Assessment always has been and always will be the key to determining suitability for training services.

Workforce Innovation and Opportunity Act (WIOA) funds are available for tuition, fees, required books, and tools up to the maximum amount approved by the Local Workforce Development Board. Selected training must be designed to teach marketable skills and/or entry-level skills in a career ladder field that leads to a high-wage, high-demand, and high growth occupation. Training must result in a job ready status at the completion of training.

Under the Workforce Investment Act (WIA), the State issued a revised State policy regarding online training programs and distance learning via the Internet. The "distance learning policy" is necessary to keep up with the changing education and training programs. Training programs are offered frequently in online platforms only and to keep current with today's education practices, 100 percent online courses will be approved provided the training provider has a physical "brick and mortar" location in the State of Alabama. The online training course must be a required course in the occupational training being pursued by the participant. The allowable costs are for tuition, books, fees, etc. related to distance learning courses. The costs of computer(s), Internet service, and related costs necessary for distance learning are the responsibility of the participant. Training providers may request 100 percent online training programs be added to the Eligible Training Provider List.

Each of the seven local workforce development areas may adopt this policy or each one may issue its own policy for participants funded with local funds. Staff responsible for enrollment of participants into ITA programs should ensure that this policy is adhered to regarding online training programs or distance learning courses; or if the local workforce development area develops a local policy, it should be followed by enrollment staff. Also, it is the responsibility of the enrolling agency staff to ensure that the program meets all the requirements noted in this policy.

Participants must be accepted into an occupational-specific curriculum. WIOA does not pay for Associate degrees, transfer programs or programs that require an additional two years to be "job ready." WIOA does pay for the Associate in Applied Science degree and other technical/occupational skills training that provides a Technical Degree, Certificate or License, including short-term training. In addition, WIOA will only pay for a class one time. It will not pay for classes retaken because of failure or being dropped or for courses not required by the curriculum.

WIOA funds do not pay for remedial courses, general studies or pre-requisites to a course of study. Careful attention should be given to a participant's academic scores gathered during assessment. WIOA defines "Basic Skills Deficiency" as an 8.9 grade level or less. It is the Case Manager's job to recommend academic skills upgrades through referrals to one of the Alabama free Adult Education Programs, because, academic preparedness directly relates to success rates for WIOA participants. To increase completion rates for participants of the ITA program, the following recommendations are made:

- All Adult and Dislocated Workers will be given the Test of Adult Basic Education to determine a scale score and placement on the education functioning level (EFL) chart
- TABE Reading and Math scores will be recorded in the electronic data base.
- Other testing information, Grade Point Averages, COMPASS scores, ACT scores, and transcripts will be used as supporting documentation for the decision to provide ITA funding.
- Participants will meet "Basic Minimum Score Levels" prior to entering training in an ITA (Attachment A)

In very limited situations, WIOA funds may be used to assist an eligible individual to complete up to the final two years of a four-year degree. This may be done only in special circumstances on a case-by-case basis with approval granted through Area Management. This option is not designed to make WIOA training a "transfer" program for students with Associate degrees. It is intended to provide assistance for a WIOA eligible individual that may have left a four-year training program due to extraordinary circumstances, such as job loss, and now needs assistance to complete that degree. Participant's requesting this option must provide a transcript of courses taken with a GPA of at least a 3.0 in the major curriculum, and a letter from the Training Provider verifying that the four-year degree can be completed in 104 weeks or less. Participants must provide documentation of how they will cover costs more than the maximum allowable amount. Training requested must be in a high-wage/high-demand curriculum with a labor market information (LMI) prediction of high- growth and must be on the Alabama Eligible Training Providers List.

Youth who have received training through the State-Funded (Alabama Community College System) Dual Enrollment program may be served in a full-time ITA once they have graduated from High School. The length of the training contract can be tailored based on credit courses taken while still enrolled in High School. However, most youth who are served through State-Funded Dual Enrollment may still be eligible for the entire length of training as specified in the course catalog.

Courses must allow for full-time, year-round attendance unless a qualifying plan gap is noted on the IEP/ISS. Qualifying reasons for a plan gap include documented proof of Health/Medical or Military Service. Inability to schedule classes during any semester/term is not a qualifying reason for a plan gap. This is considered a "break in training" and Individualized Career Services must continue to be provided during this time. The services provided must be value-added in nature and should contribute to the individual re-entering training in a timely manner. A break in training may be more than one semester in length, especially if a student fails a course that requires a retake to re-enter class rotation.

The maximum allowable training time for participants is 104 weeks. However, if classes cannot be scheduled or if there is a break in training, a request to go beyond the 104 weeks may be considered with supporting documentation. Unavailability of courses must be verified by the Training Provider. These requests will be sent to the Area Management for approval.

The participant must be financially able and willing to commit to the completion of occupational training that could last up to 104 weeks. In applicable cases, participants previously served

under an ITA, who failed to complete training, may be considered for re-enrollment. Grades, attendance, case management notes and special circumstances, which prevented the participant from completing training, will be given consideration. The main determining factor will be case notes written by the Case Manager, who originally assisted the participant, who is requesting re-enrollment. Therefore, it is extremely important that the final case notes written for a non-completer be specific and detailed regarding the reason training was not completed during the first enrollment.

A written request to re-enroll a participant containing supporting documentation must be provided to Area Management. Case managers should counsel participants that funds previously expended will be deducted from maximum allowable amount for the current Cost Category. Contract should be written only for the remaining time and funds. Approval will be granted by Area Management and is determined on a case-by-case basis.

Based on cost limitations, Alabama Career Center staff may advise participants on the cost effectiveness of training options and make participants aware they are responsible for any costs more than the ITA limitations. Participants must provide written documentation of their ability to cover costs more than those provided by WIOA. This requirement is a part of the ITA Pre-Registration Activities. (Attachment B) Participants are given information on sources of financial aid, such as grants, student loans, scholarships, and work-study opportunities. All ITA applicants must apply for a Pell Grant each year served to be enrolled and continue in the ITA program.

Even with Pell Grant assistance WIOA participants still have unmet needs. Most technical programs require tools and books that quickly use up available WIOA dollars. These unmet

needs are to be documented on the IEP/ ISS and as additional financial needs are determined, referrals to supportive services are provided to assist in overcoming barriers to completion of training.

The participants expressed interests and job goals annotated on the IEP/155 are to be supported by the comprehensive assessment data and labor market research as it relates to high-growth, high-wage, and high-demand occupations. In consultation with the Case Manager, participants research and discuss these jobs relative to availability, salary, education requirements, job demand characteristics, promotional opportunities, location, and fringe benefits.

Because it is a reportable item, "Training-Related Employment" must be the expected outcome of any Individual Training Account provided. The WIOA defines training-related employment as employment in which the individual uses a substantial portion of the skills taught in the training received. Careful consideration of jobs in demand in each Career Center service area should impact the training selected by potential participants. Potential participants should also be made aware of the many training-related occupations available relative to their major course of study. (i.e. a participant trained as an electrical technician who obtains a job as an industrial maintenance mechanic has received training-related employment.) Career Center staff should be aware of crosswalks (i.e. O*net) that are available for training-related employment and should use them to document and report the training-related outcome in the exit questions of the electronic database. Alabama Career Center staff provide information on how to access the Alabama ETPL, Occupational Outlook information available through O*Net, Alabama LMI and other available sources to research high-growth, high-wage, high-demand occupations. In addition, Alabama Career Center staff provide career counseling, as needed, to assist participants in meeting their occupational goals and overcoming barriers to their success.

For participants to make an informed decision about career options, Alabama Career Center staff assist them in exploring appropriate career areas and training options. During the decision-making process, participants will complete all the ITA Pre-Registration Activities available through the Alabama Career Center. The completed ITA Pre-Registration Activities Form (with attachments) should be returned to Alabama Career Center staff prior to the request for funding.

III. ITA Enrollment Procedures

Once the ITA requirements have been met, the Case Manager completes Form WDD-13, Part I, Individual Training Account Form (Attachment C). In the GLWA, Career Center Staff scan and email the Part I to the dedicated ITA email address, **ITA@commerce.alabama.gov** for approval. GLWA has established the following guidelines for scanning/emailing ITAs to ensure the ITA enrollment/approvals are processed in a timely manner:

- Check the quality of the scanned ITA forms to ensure all information is legible.
- All scans should be labeled with the name of the Career Center and the date emailed.
- Several ITA forms can be scanned into one attachment. The body of the email should list the names of the ITA participants whose paperwork is attached.
- The subject line of the email should include the name of the Career Center sending the ITA information.
- Once the email is opened by GLWA staff, the Career Center will receive a "Received" response from one of the staff.
- A copy of the approved contract will be scanned and emailed to the case manager from the

ITA payment office once it has been processed.

The Part I should be submitted no earlier than six weeks and no later than two weeks prior to first day of training. Exceptions may be considered on a case-by-case basis as approved by the Career Center Manager. Participants will not be enrolled with a Training Provider until the Career Center has received the approved Form 13. Alabama Career Center staff will notify both the participant and Training Provider of contract approval. To assist in the ITA payment process, the Career Center must complete the enrollment process in the computer system within 3 to 5 days of the training start date. ITA records that are incomplete are unable to have charges posted to their accounts.

Prior to enrollment into an ITA, participants receive services from Alabama Career Center staff to ensure the required paperwork, applications, and placement examinations necessary for entrance into training have been completed.

State-funded ITAs will be processed through State Programs and Divisional Budget Management Section. Local-area-funded ITAs will be processed through Local Areas.

A. Funding Allocation

Local Areas allocate ITA funding for Adults, Dislocated Workers, and Youth. Each Alabama Career Center is responsible for managing their assigned funding allocations to ensure

authorized funding levels are not exceeded. The Governor's Set aside funding will be approved on a case-by-case basis. Funding requested will be for the most cost-effective program for a chosen curriculum.

The Alabama Career Center staff completes Form 13, Part I, entering the exact cost of training per the ETPL but not to exceed the approved maximum amount based on the cost category (Attachment G). Follow distribution instructions as listed on the form. Part II of the 13 is completed by the Training Provider. Reimbursement to the training provider will be prorated equitably based on the number of semesters/terms required to complete the program. Form 13 Amended serves to amend the original 13 as necessary (Revised 05/2017).

B. Vacating an ITA

Participants should be told they must report to the respective Training Provider on the first day of scheduled training. If an extenuating circumstance occurs, participants must notify their case manager within 24 hours or they will be considered failed to report. Once this deadline has passed and a participant has not reported to training, Alabama Career Center staff completes the Notice of Failure to Report, Form 15 (Attachment D) and submits to the Local Area, ITA Payment Unit and the Training Provider. **Note:** A failure to process the Failed to Report document may result in WIOA funds being paid for a person, who did not show up for training. ITA Payment Unit will wait seven calendar days before processing payment to a training provider to give Career Center staff adequate time to verify a participant has reported to training or failed to report to training.

When participants discontinue, or complete the training program, the Training Provider will submit the Form 14, Report of Termination from ITA Services (Attachment E) to the Alabama Career Center, and to both the Local Area, and the ITA Payment Unit. The Form-14 provides the Alabama Career Center staff and LA with completion and/or job placement information. This form should be submitted within two weeks from the date the participant completes or discontinues training. If the required Form-14 is not received from the Training Provider by the end of the two-week period, Career Center staff will complete the Form-14 based on ***verified*** information from the Training Provider and will document information source and reason Career Center staff completed the form.

C. Co-Enrollment of TAA Participants

Over the past decade, the US Department of Labor has recognized the value of co-enrolling TAA participants into WIOA Dislocated Worker Individual Training Accounts. While Trade Act funding for training (TAA) has been stable for the past several years, there is always the possibility of the Trade Act being allowed to "sundown". Co-enrolling TAA participants into WIOA Dislocated Worker training would allow these individuals to continue their training program to its completion. Local Area provides a co-enrollment project number used for enrolling and tracking TAA participants.

When TAA participants come to the Career Center to utilize their training funds, the Labor Exchange/TAA staff should always refer potential trainees to their WIOA counterparts. WIOA case managers will determine eligibility, complete assessment and enter basic assessment

information on the IEP for TAA participants. Participants will then be "handed back" to Labor Exchange staff who will complete case management services, monthly benchmark contacts, per semester in-person benchmark meetings to gather grades and scheduling information, IEP updates, completion outcomes and employment information.

IV. Case Management/Communication with Alabama Career Center Staff

Case Management begins at registration into Individualized Career Services and continues if participants receive any services provided by the Alabama Career Center, WIOA funded partners, and non-WIOA funded partners. WIOA states that Case Management Notes are a part of the Individualized Employment Plan and will:

- thoroughly document all case management contacts;
- support decisions, activities, and needs recorded on the IEP/155;
- provide written evidence of a working relationship between participants and staff.

Case Management Notes are electronic and are maintained in participants' electronic and hard copy files. Alabama Career Centers ***will*** maintain these files for the period of six years, which is specified by the WIOA and state record retention requirement.

A. ITA Orientation

All Alabama Career Centers provide a "general" orientation to WIOA services and training programs, including processes that must be completed to be eligible for an ITA contract. These orientations should be conducted regularly and early enough to allow participants time to

complete all necessary requirement s for ITA enrollment. These "general" orientations should be advertised at the Career Center and through social media and may have to be conducted in several sessions depending upon the number of customers showing interest.

Prior to entering training, approved ITA participants must attend a mandatory ITA Orientation conducted by Alabama Career Center staff. This orientation may be in a group setting or on an individual basis.

Topics to be covered during ITA Orientation include:

- Failed to Report policy;
- Full-time enrollment;
- Year-round enrollment requirements;
- Attendance requirements;
- Financial-aid coordination including yearly Pell Grant application;
- Required books and tools policy;
- Pre - approved curriculum changes; (changing only after end of first semester)
- Training Provider handbooks, policies, and procedures;
- Retaking dropped or failed classes;
- Providing schedules, mid-term and final grades, and other documentation;
- Equal Opportunity/nondiscrimination policy;
- Right to file grievance and/or Discrimination complaint;
- Follow-Up; and

- Potential eligibility for Trade Adjustment Assistance (TAA).

In addition, during orientation, participants are instructed they are required to maintain open and monthly communications with Alabama Career Center staff, particularly in the following instances:

- entering employment or returning to a former job
- changing funding sources, i.e., WIOA to TAA or TAA to WIOA
- needing assistance for transportation, child care, or other supportive service
- moving, changing addresses, email addresses and cell phone numbers
- adding, dropping, or withdrawing from classes
- changing from day to evening or evening to day classes
- scheduling classes not required by curriculum
- having difficulty in scheduling a full course load
- adhering to the Training Provider's attendance policy
- experiencing other issues that could interfere with the successful completion of training

Upon completion of orientation, participants will sign the Training Rules and Responsibilities Form signifying that they understand and will abide by the rules of the ITA program. They should be advised that failure to comply with ITA program rules or to report the above circumstances could affect their ability to retain ITA funding. They will be provided a copy of the Form showing their signature. (Attachment F). During in-person Case Management contacts each semester, the participant will review, initial, and date the Rules and

Responsibilities Form. Failure to report to the Career Center once a semester will result in a hold being placed on their funding by the training provider.

B. Progress Reports

Communication between ITA participants and Alabama Career Center staff is essential to the success of the individual and the maintenance of the training account. The Alabama Career Center Contact Information section of the Training Rules and Responsibilities Form provides the name, address, phone/fax numbers, and email address of the Case Manager who is working with the participant. **Participants are advised that progress reviews will be made monthly throughout the training service duration with an in-person review no less than once per semester.** The need for additional contacts is dictated by circumstances such as lack of academic progress, poor attendance, need for further supportive service referrals, or other reasons. Participants are required to provide copies of schedules, grades, and/or progress reports to the Case Manager while receiving training services through an Individual Training Account. Participants are reminded this requirement is a part of the Training Rules and Responsibilities. Progress information is provided for each term of the predetermined schedule that was agreed to by the participant and Case Manager, as documented on the IEP/ ISS, and is usually at the end of each semester of training. The schedule is established during IEP/ISS development and reiterated during orientation. Participants, who do not provide the required information, are contacted and reminded of their

responsibilities by the Case Manager. **Continued failure to provide documentation of progress will result in the loss of unspent training funds budgeted for the ITA.**

C. Measurable/In-Progress Skills Gains

In-Progress skills gains are now one of the **reportable performance measures for WIOA**. This measures the number of participants actively enrolled in an education or training program that leads to a recognized post-secondary credential, or employment, who are achieving measurable skills gains toward employment or a credential. These gains are measured in real time while the participant is actively enrolled in a career pathway. These skills gains must be documented in a participant's file and can include:

- Educational Functioning Level gains (EFL)
- High School Diploma
- GED attainment
- Developmental/remedial education completion
- College level course completion in the CHOSEN career pathway
- College level Math or English course completion
- Credit accumulation of 12 semester hours or 15 quarter hours within the career pathway
- Credit accumulation of 24 semester hours or 30 quarter hours within the career pathway

Monthly progress checks are the most appropriate time to collect documentation of measurable skill gains as grade reports are provided to case managers during this time. If a participant drops out of training, the Case Manager will work with the participant to determine

if a gap in services is appropriate. A participant should be entered in a "plan gap" if they have a gap in services of greater than 90 days due to one of the following documented reasons:

- ✓ Delay before the beginning of training
- ✓ Health/medical condition or providing care for a family member with a health/medical condition
- ✓ Temporary move from the area that prevents the individual from participating in services, including National Guard or other related military service

The service gap must be related to one of the circumstances identified above and should last no more than 180 consecutive calendar days from the date of the participant's last service.

It is provided to allow a participant time to address the barriers to continued participation. In rare circumstances, you may initiate a consecutive gap in service of up to an additional 180 days for the participant to resolve issues that prevent them from completing program services that lead to employment. The second 180 days must immediately follow the initial gap in services to meet the definition of "consecutive" and must have approval by the Area Manager.

All gaps in services must be documented in Case Management Notes: Provide the reason for the gap, the participant's intent to return to complete program services, including the anticipated date of return and any further communication from the participant regarding their gap in services. Failure to contact their Case Manager could result in a participant's gap being terminated.

Plan gaps **ARE NOT** to be used for participants who are unable to schedule a class for any semester. It is not unusual for some training programs to offer a limited selection of classes

for the summer semester. However, these participants are not in a gap. They are still receiving Individualized Career Services from their Case Manager, and the unavailability of classes does not meet any of the criteria available for a plan gap.

The Case Manager assists, as appropriate, with available referrals to supportive services to address the barrier causing the gap so participants can return to training as quickly as possible. Communication with participants continues during the plan gap and is noted in case notes.

The Case Manager works to establish a trusting relationship with participants and takes every opportunity to encourage participants to contact them whenever a need or problem arises. Participants are advised that 'issues' are best handled at their onset, rather than waiting until they have become problems.

Case Management contacts are to be made no less than monthly and are to be recorded in program notes in real time as the contact is made by the staff making the contact. Copies of supporting documentation are maintained as necessary. That documentation, along with case notes, provides evidence of an on-going, working relationship between participants and the Alabama Career Center staff. Referrals, interventions, counseling and other case management assistance provided to participants should be documented.

D. Completion of Training Services

All WIOA services, including Individualized Career Services, are closed at the end of participant training. All outcome information should be reported in the data system in real time. Tracking, reporting of employment, and provision of job retention services are follow-up services and should be documented in case notes.

V. ADDITIONAL WIOA OUTCOMES AND PERFORMANCE FOR ITA

A. Credentials, Certificates and Degrees

A credential is an umbrella term, which encompasses postsecondary degrees, diplomas, licenses, GEDs, certificates and Industry-Recognized Certifications. This terminology is in line with both the fields of education and industry. Credential Rate is a new measure in the WIOA.

Youth have a year in which a credential can be recorded (for WIA it was 9 months). In addition, a Diploma/GED will be counted as a "positive" outcome only if the participant is either employed or enrolled in a training program leading to a postsecondary credential within 1 year after exit.

USDOL established criteria in which a credential is to be awarded in recognition of an individual's attainment of measurable technical or occupational skills. These technical or occupational skills are generally based on standards developed or endorsed by employers to allow the participant to:

- Enter Employment
- Re-enter Employment
- Retain Employment
- Advance within an Occupation

Obtaining a credential indicates an individual has mastered competencies and knowledge relevant in the labor market. Credentials are normally issued to the individual by a third party (e.g. educational institution, an industry/occupational certifying organization, or professional

society) which has authority to issue such a credential.

Industry-Recognized- Developed and offered by or endorsed by a nationally-recognized industry association or organization representing the industry sector, or a credential that is sought or accepted by companies within the industry sector for purposes of hiring.

Stackable- Part of a sequence of credentials that can be accumulated over time to enhance an individual's qualifications and assist in moving up a chosen career ladder and higher paying jobs.

Portable- A credential is considered portable when it is recognized and accepted in other geographic areas, at other educational institutions, by other industries or companies, or in different labor markets.

Credentials come in many different forms and are issued by a wide variety of entities.

Examples include:

Educational Diploma/Certificate/Degree: Issued by accredited educational institution, which is most often the designer of the credential and the developer of the associated curriculum. These are typically portable throughout the country.

Registered Apprenticeship Certificates: These certificates signify completion of--or interim steps within-registered apprenticeship programs. After an individual completes an apprenticeship, they may pursue additional certification from another entity (e.g. in many construction occupations --plumber, electrician; to practice that occupation, they must also be licensed).

Occupational Skills License: Typically, but not always, awarded by government entities before an individual can be employed in a trade, profession or occupation. Licenses are intended to set professional standards and ensure safety and quality of work.

Industry-Recognized or Professional Association Certification: Issued by 3rd party,

non-governmental organizations based on standards set to demonstrate professional qualifications and/or competencies.

Other Certificates of Skill Completion: A broad and less defined category that tends to focus on credentials that capture narrow competencies and/or knowledge. May be issued after an individual(s) attends or participates in a course.

There is a wide array of public and private credential issuing entities and organizations. They can be grouped into three general categories:

Government

- Program approved by the VA to offer education benefits to veterans
- A public regulatory agency, upon an individual's fulfillment of educational work experience or skill requirements that are legally necessary for an individual to use an occupational or professional title or to practice an occupation or profession (e.g. Federal Aviation Administration aviation mechanic license)

Educational/Training Institutions

- State-approved educational or training agency responsible for administering vocational and technical education.
- An institution of higher education that is eligible to participate in federal student financial aid programs.
- Registered Apprenticeship Providers

Businesses/Non-Profits/Associations

- A professional, industry, or employer organization (e.g. National Institute for Metalworking, National Institute for Automotive Service)
- A Product manufacturer or developer (e.g. Microsoft Certified Database Administrator, Certified Novell Engineer)
- Job Corps issued certificates

These examples should assist in determining whether a certain credential meets the DOL definition of "allowable credentials". This list is inclusive; all qualifying credentials must fit into one of the categories.

Credential Type	Entity	Example
Diploma/ Degree	Accredited Educational Institution	H.S. Diploma/ GED AA / BS Degree
Advanced Training Certificate	Postsecondary Institution Professional Associations	**Bookkeeper, HVAC** Office Administration
Industry-Recognized	Professional Associations Employer Associations	Software Applications Automotive Service
Occupational License	Typically issued by government agencies	CDL, Cosmetology/ Barber **EMT, CNA, LPN, RN**
Apprenticeship	State Apprenticeship Office	Carpenter, Electrician Pipefitter, Plumber
Other Certificates	Varies	Department of VA approved Job Corps issued

Non-qualifying credentials will not be counted toward performance. However, such credentials can be of value to participants as a building block for educational and/or occupational success.

Single Skill Certificates- General and Single Skill certificates in and of themselves do not provide the depth of knowledge necessary to provide a significant advantage to the job seeker, thus would not meet the spirit of the credential measure.

Certificates of Attendance- Certificates of Attendance/Completion and/or Participation do not reflect demonstration or attainment of industry knowledge, skills or attributes; thus, do not meet the spirt of the credential measure.

Work Readiness- It is the expectation that participation in workforce development should enhance the Work Readiness of all clients. These types of certificates do not tie to technical or occupational skills within an occupation. Work Readiness certificates do not meet the spirit of the credential measure.

High School Certificate of Completion/Attendance- A high school certificate of attendance indicates the student has completed high school but did not demonstrate mastery of required skills. It is not the same as a High School Diploma. High School Attendance certificate does not meet the spirit of the credential measure.

Industry/Employer Certificates - Are awarded based on short-term training in areas such as safety, that are important to the workplace however they are not an occupational or technical skill. Certificates in First Aid, CPR, OSHA training or ServSafe food safety training do not by themselves meet DOL requirements/standards. These certificates are valuable assets for any individual, but, do not represent a full well-rounded set of career skills, and are not likely to be a key to hiring or promotion decisions.

This list addresses the most common non-qualifying credentials but is not inclusive.

Credential Type	Example
General/ Single Skill	CPR - First Aid - OSHA Job Safety training- ServSafe food safety- Standard driver' s license -Work Key Certificate - Forklift Operators
Certificate of Attendance/ Completion / Participation	Conference Attendance Certificate
Work Readiness	JAG competency certificate Work Readiness Credential
Workforce Investment Board	Certificates awarded
High School Certificate of Attendance	

Note: Secondary School Diploma/Equivalent Diploma will only count as a "positive" outcome if the participant is either employed or enrolled in a training program leading to a recognized postsecondary credential within 1 year after exit from the program. This measure allows a one- year delay following Exit for the outcome to be Attained and recorded into the electronic data base; thus, the importance of **follow up.**

Also, when recording the Date, the Degree/Certificate or Credential was attained use the date indicated on the degree, certificate or credential.

B. Employment

Employment-related performance measures for ITA for Adults and Dislocated Workers include:

- Entered Employment Rate: Measured in the 2nd quarter after the Exit Quarter
- Employment Retention Rate: Measured in the fourth quarter after the Exit Quarter
- Average Earnings Rate: Measures the Median earnings in the second Quarter after the Exit Quarter

Some participants find suitable employment through their own efforts. However, Training Providers, instructors, and Alabama Career Center staff must assume a leadership role in providing job search activities. As ITA participants near the end of their training, Case Managers should make sure they return to the Career Center and assist them in creating a top-notch resume. This resume will be posted on the electronic database and copies should be reproduced and provided to participants as they plan their job search activity. Additional Job Search sources and assistance are available through the Alabama Career Center System and include Career Center Labor Exchange staff, labor market information, other Internet job search sites, newspaper ads, and contacts with local business and industry. All participants who complete their training objective and who are experiencing difficulty in locating a job should be scheduled to meet with the Career Center Business Service Representative for possible consideration for referral to a short-term On-the-Job Training Contract.

In the event immediate job placement is not accomplished after training, Alabama Career Center staff continue Case Management monthly contacts to facilitate job placement efforts. Alabama Career Center staff work closely with participants at appropriate intervals both before and after obtaining employment. These Career Services are known as Follow-Up Services.

C. Follow-Up Services for Adults and Dislocated Workers

Follow-Up services must be provided as appropriate for participants who are placed in unsubsidized employment, for up to 12 months after the first day of employment as outlined in TEGL 3-15, issued July 1, 2015; Guidance on Services Provided through the Adult and Dislocated Worker Program under WIOA.

Follow -Up for Adults and Dislocated Workers can be broken down into a three-tiered process; Initial Follow-Up, Retention Follow-Up, and Performance Follow-Up.

- ✦ Initial Follow-Up is conducted for those Adults and Dislocated Workers where 1st day of employment needs to be verified.
- ✦ Retention Follow-Up is then made available to Adults and Dislocated Workers for up to 12 months to increase job retention and to provide support.
- ✦ Performance Follow-Up captures information pertinent to performance attainment.

The purpose of Initial Follow-Up is to establish 1st day of unsubsidized employment and may be conducted in any of the following ways.

- Face-to-Face conversations
- Phone call/ Text/ E-mail / Letter
- Case Manager's 1st hand knowledge (documented)

- UI wage verification
- Supplemental Data

Initial Follow-Up attempts can be documented using:

- Case Notes
- Emails or Text from participants
- Facebook/ Social Media
- Letter
- Employment Verification Form (Attachment H)
- Telephone Verification Form

It is very important to stay in contact with the participant throughout the WIOA enrollment period. The sooner the date of employment is be verified, the sooner Follow-Up Services can be provided. Again, once the first day of employment is documented, the 12-month Follow- Up Services begins. Ways to document first day of employment include:

- New Hire Data
- Federal employment records
- Military employment records
- Other Administrative wage records
- Supplemental Data (can be Case Manager's knowledge)

Retention Follow - Up services for Adults and Dislocated Workers are to be provided to those who are placed in unsubsidized employment for not less than 12 months after the first day of employment, as appropriate. These Follow-Up services should have as much value as other components of the WIOA program. Participants should be aware "up-front" that Retention Follow-Up services will be made available to them after leaving the program. The goal of

Retention Follow-Up services is the prevention of job loss, ensure job retention, wage gains and career progress for those who obtain unsubsidized employment. The case manager may assist in arranging a wide array of services designed to improve the employment status of the participant during Retention Follow-Up. All Follow-Up services will be documented in case notes.

While Retention Follow-Up services must be made available, not all Adults or Dislocated Workers who are placed in unsubsidized employment will need or want such services. Adult and Dislocated Workers may decline Retention Follow-Up services if they so choose. Case notes must contain documentation substantiating that these Follow - Up services were offered to the participant and were declined.

Retention Follow-Up services vary and are determined on a case-by-case basis and may include:

- Additional Career Planning
- Counseling to assist in Job Retention, Increase Earnings and completing Education requirements, if needed
- Contact with the participant's employer, including assistance with work-related problems that may arise
- Peer Support Groups
- Information pertaining to Additional Educational Opportunities
- Referral to Supportive Services available in the Community
- Include non-WIOA service(s)

Retention Follow-Up services must be made available to participants the first day unsubsidized employment is verified and continues for 1 year. The intensity and frequency of Follow-Up contacts should align with the needs of the individual.

Retention Follow-Up contacts must be meaningful and may not simply be a contact to obtain needed data.

There is no minimum number of attempts that must be made to meet the requirement to offer Follow-Up services. The case manager, after no less than six attempts, may cease contact if one of the following is documented:

- Participant refuses Follow-Up services
- No longer employed with the initial employer and current employment status unknown
- Has moved with no forwarding address
- Phone has been disconnected
- No other alternative contact information is available

The case manager will document the appropriate scenario and no other contact attempts are needed.

Performance Follow-Up begins after the participant Exits from WIOA and any partner service(s) and runs consecutively with Initial and Retention Follow-Up. The 'clock begins ticking' at Exit as to their inclusion in performance measures. Several Adult and Dislocated Worker measures are captured after program exit, thus information gathered during Follow-up can be used as Supplemental Data necessary to capture performance for the following:

- Entered Employment: Is based on verifiable wages captured in the 2nd quarter after the exit quarter.
- Employment Retention: Is based on verifiable wages captured in the 4th quarter after

the exit quarter.

- Credential Rate: Number of participants who obtained a recognized post-secondary credential or diploma during the program or within 1 year after program exit.

The Entered Employment and Employment Retention performance measures are gathered via UI wage data (state and nationally). For those participants not found in UI wage data (self-employed, cash-only, tips, etc.), Supplemental Data can be used. Supplemental Data can be attained and verified by first-hand knowledge of employment situation, usually documented as follows:

- Supplemental wage forms
- Case notes (visual observation)
- Employment verification (pay stubs, W-2, etc.)

Documentation needed for the Credential Rate is verified during the 1-year Follow-Up period and includes copies of:

- Transcript
- Certificate
- Diploma

D. Follow-Up Services for Youth

Follow-up services are another important part of Youth ITA Services. Follow-up services provide support and guidance after placement to facilitate sustained employment and educational achievement, advancement along the job and/or educational ladder, and personal development. All youth will receive follow-up services.

The types of follow-up services provided are based on the needs of the participant. Follow-up services should include more than just a contact attempted or made for securing documentation for the case file to report a performance outcome. However, regular contacts with the youth to ensure successful continuation of employment or education may be sufficient as a follow-up service, if the case manager has determined the youth is not in need of additional services.

Follow-up contacts will begin at the completion of ITA program participation. WIOA states that follow-up services will be provided for "not less than 12 months" and that these services begin at the completion of participation in youth services activities. Intensity of the follow-up activities may vary with each youth based upon involvement with the ITA program as well as their individual needs.

Follow-up services may include:

- Leadership development activities
- Regular contact with the participant's employer, including assistance with work-related problems which arise

- Assistance in securing better paying jobs, promotions and career development
- Work-related peer support group
- Adult mentoring
- Case management and progress tracking during training/educational programs
- Supportive services referrals
- Tracking progress and offering assistance once training/educational programs are completed

E. Supplemental Data

The primary data source for capturing the performance measures of Entered Employment, Employment Retention and Average Earnings is accessing UI wage records (state and nationwide). UI wage records include private sector, non-profit sector, and government employer wage data.

Certain types of employment situations are not covered by UI wage records such as:

- Self-employed
- Federal employment
- Postal Service
- Military
- Railroad
- Some Agricultural employment
- Employment based on Commission
- Tips or Cash-only payments

Supplemental data will be used for program management as well as to gain a full understanding of program performance. For those individuals who are or not found in either the state UI wage records or the nationwide WRIS database, Alabama has the option to gather and report supplemental data for the above-mentioned performance measures.

It is anticipated case management especially during the Follow-Up period will be the most common method used to obtain timely supplemental data. It is likely during this period certain employment situations will be verified and documented in the electronic data base (i.e. self-employed, working for cash, etc.).

For those participants not covered by state UI records, supplemental sources of data can be utilized to document entry and retention in employment. These sources must be properly documented. Allowable forms of documentation include:

- Telephone/ form/ mail response from participant documented with W-2 form, pay stub, 1099 form or other written documentation when available
- Telephone/form/mail verification with employer documented by W-2 form, pay stub, or other written documentation when available
- Telephone/form/mail verification for Self-employed
- Case Notes
- Other Automated data base systems (could be through partner service)
- Administrative Records (i.e. government employment records)
- Revenue or Tax records (i.e. accessing Dept. of Revenue for self-reported occupations)
- Participant's license and/or business-related documentation

All data and methods to secure and verify supplement employment data must be documented and are subject to audit.

Local Areas will identify program exiters who have not been found in UI or WRIS wage records and provide Career Centers a printout within 30 days for those participants who are not showing UI wages in quarter 2 and quarter 4 after exit.

VI. PAYMENT GUIDELINES

A. ITA enrollment form - WDD 13 Part I and Part II

The ITA enrollment form, WDD 13, originates in the Career Center, approved through the Department of Commerce Workforce Development Division, and is required to be on site at the Training Provider's location before the student begins training. The WDD 13, ITA Agreement, contains information that will be used to create the student's account and to submit billing claims for reimbursement of allowable costs. The Training Provider's financial aid office and business office should coordinate with each other regarding the student's enrollment.

The WDD 13 Part I is completed by the Career Center, approved by WDD, and is distributed to the ITA Payment Office and Training Provider. The WDD 13 Part II is completed by the Training Provider and submitted to the ITA Payment Office to be approved and distributed to WDD, the Career Center, and the Training Provider. All four (4) locations should have an

approved WDD 13 Part I and Part II for each ITA. The Part II is a breakout of cost categories for tuition, fees, required books, and required supplies. A detailed list of fees and required tools may be attached to the ITA Agreement (optional). Student expenses are not applied per category amount listed, but to the total amount allocated as approved in the ITA Agreement.

B. WIOA funds – items covered, and items not covered

Reimbursement for training costs will not exceed limits established by state and local policies. The ITA Agreement lists the approved allocation budget amount. Training costs (that are greater than the amount on the ITA Agreement) will be the student's responsibility.

- **WIOA ITA funding covers:**
  - Tuition – required courses for the approved curriculum
  - Fees – required for each student, medical tests/shots, liability insurance, licensing, testing certifications, etc.
  - Books – required by instructor (electronic or paper, but not both)
  - Supplies – required by instructor
  - Tools – required by instructor

- **WIOA ITA funding does <u>not</u> cover:**
  - Pre-requisite, remedial, or repeat for drop/failure (WIOA paid 1st time) classes.
  - "High end" supplies (gold nursing pins, gold nursing watches, expensive brands of tools when average cost tools are available).
  - Equipment items like computers, printers, I-pads, I-pods, e-readers, etc. (even if required by instructor-still not allowed) (exception for Calculator for Accounting Majors)
  - Extra uniforms or tools – exceptions given in emergency situations, fire, theft etc. No additional funds are provided in these cases just permission to use WIOA funds to purchase replacement items to complete training.
  - College clothing, backpacks, carriers, meal plans, or housing allowance.
  - Suggested study guide materials.

- General Health Insurance

You may call the ITA Payment Office at 334-353-5165 if you are unsure about a reimbursement item or cost.

C. Reimbursement Information

1. General Information and Form ITA 31 – Reimbursement Request Requirements:

To receive reimbursement, a Reimbursement Request should be submitted by the Training Provider to the ITA Payment Office. The Form ITA 31 may be used or Training Providers may use a computer-generated printout from their accounting system, if more convenient, efficient, and provides the necessary information for reimbursement (see below-required items). Training Providers are asked to submit/mail 2 sets of reimbursement requests with at least one of the copies having an original signature of the Training Provider's Representative.

The ITA Payment Office will only reimburse WIOA funds to the Training Provider. No payments are paid directly to the student or vendor. WIOA students are allowed to be reimbursed for out-of-pocket expenses that can't be provided by the Training Provider. The student must coordinate with the Training Provider prior to the purchase regarding the Training Provider's policy and procedures (prior approval, purchase orders, approved vendors, deadline dates for submission of receipts for reimbursement, etc.) for reimbursement of WIOA funds to avoid any misunderstandings.

Payments may be made by electronic funds transfer or paper check by mail. You choose which option you would prefer during registering your entity into the State's Accounting System, the STAARS system.

2. Reimbursement Submission Deadlines

Reimbursement requests should be submitted within 20 class days from the start of training date or after the drop/add date. Short term training (13 weeks or less) billing claims may be submitted during the first week of training, with attendance verified by the Career Center. For training of less than 12 months with a payment structure that is all inclusive, training providers may receive one payment or establish prorated amounts per the training period. Supplemental billing may be submitted at any point during training. Advance payments prior to and for future training is not allowed for the WIOA program.

The Program Year for the WIOA ITA program is July 1st through June 30th. WIOA expenses, which occur within those program year dates, must be paid within that program year. Deadlines are given each year for reimbursement of expenses occurring during the program year. Failure to submit billing claims in a timely manner within the designated program year could result in delays or non-payment. Students, who complete/terminate, should have all their account expenditures submitted for reimbursement within two (2) months of their termination date.

3. Required items and how to complete the reimbursement request form

1. Period of billing – the timeframe of the billed expenditures
   Exp.- start and end date of a semester or start and end date of a session
2. Training Provider's name(s) and address as it is listed in the STAARS system
3. ITA/IR Budget Number – listed on the WIOA ITA Agreement
4. Student name and SSN (at least last 4 digits) or student id# (must follow the PII Policy)
5. Cost breakout – Tuition, fees, books, supplies and total for period of billing
6. Original Signature of a representative from the Training Provider certifying that the charges are correct and within the guidelines of WIOA payment requirements

WIOA funding is separated by adult (1), youth (4), dislocated worker (6), and other fund sources. The ITA/IR budget number on the ITA Agreement designates the fund source, Area of service and other information. The billing claims must be separated by budget number (fund source) per claim. Multiple students with the same budget number during the same period of billing may be listed together on one billing claim. Examples of different fund sources in Area 2 – budget number 81202489 billed together, budget number 84202489 billed together and budget number 86202489 billed together. Do not mix budget numbers on billing claims. If this occurs, the student's name and expenditures will be removed, and a request made to submit a re-bill for those charges on a separate billing claim.

4. Documentation / Purchased items information

All receipts for purchases must be signed by the students and maintained by the Training Providers in their records as backup documentation for auditing and monitoring by State and Federal agencies. Receipts do not have to be submitted with the billing claim for reimbursement unless the Training Provider is an out-of-state entity. Source documentation

is required, except for State entities.

WIOA book and supply purchases may be tax exempt. Training Providers should coordinate tax exempt status with their in-house bookstore or supply vendors. WIOA will not pay taxes on purchases, the student is responsible for the tax charges for non-tax-exempt purchases.

It is recommended that Training Providers not allow WIOA students to charge books/supplies to the Training Provider accounts prior to the start date of training. Receipts submitted for services and items prior to start date are not allowed. Items purchased in prior semesters or months before start date aren't eligible for reimbursement with WIOA funds. If the student fails to start or return to training, depending on the termination date, reimbursement for purchases may not be possible with WIOA funds.

It would be beneficial and might expedite payments if an official list of required books, supplies, tools, uniforms, and other items could be provided to the Financial Aid and Business offices to compare receipts of items purchased with what is required.

5. Credit / Refund information

There are two (2) options for a Training Provider to return WIOA funds. The Training Provider may submit a credit invoice similar to the reimbursement request, which must be submitted within the Program Year Dates (7/1-6/30) or a Refund check, including information on the

student account that is receiving the credit. The refund check should be made payable to the State of Alabama/ Department of Commerce/WDD/ ITA Payment Office and mailed to the ITA Payment Office.

D. Termination – early withdrawal and scheduled end date

When a student leaves training early or on the scheduled end date, the Training Provider must provide a Termination form, WDD 14, to the Career Center, WDD, and ITA Payment Office. Once the Training Provider has submitted the Report of Termination, the date of termination is entered into the system as the training end date. Billing Claims may be submitted after a Report of Termination has been submitted for those expenses that occurred prior to the termination date. The only expenses that may be submitted for reimbursement after a termination date would be fee charges for graduation, licensing, testing, or certifications. Scheduling certification exams (after completion) should be the first date available or within 30 days of the termination date. Reimbursements may be denied due to delays by the students in submitting receipts or missing the deadline for program year submissions. Tuition, books, or supplies can't be reimbursed if purchased after the termination date.

The Report of Termination may be rescinded by the Training Provider. Submit a copy of the original Report of Termination with large print "RESCINDED" at the top of the form with the "Date". Distribute copies as instructed on form.

E. Changes in student curriculum/program enrollment

Any changes of the training (curriculum, funding allocation, dates of training, etc.) for the ITA

student that differ on the originally-approved ITA Agreement requires the Career Center to submit an Amended ITA Agreement Form to the WIOA funding agency for approval. Students are not allowed to change their curriculum without first having the approved Amended ITA Agreement Form reflecting that change. If the student enrolls or is assigned classes not in the approved curriculum, WIOA will not pay the costs related to those classes. Students are required to maintain communication with the Career Center and failure to do so may involve placing a hold on future charges and training for that student.

F. Eligible Training Provider List

The Eligible Training Provider List (ETPL) provides information, which is referenced on each ITA enrollment (length of training, cost, curriculum). Information on the ETPL is provided by the Training Provider, and it is important that the information is current and up-to-date on costs for training programs.

G. WIOA Training Provider Agreement Packet

The WIOA Training Provider Agreement Packet must be completed, submitted and approved prior to receiving payment. Enrollment into STAARS and the E-Verify program are required. This is a one-time submission unless program changes necessitate your information to be updated.

H. Contact information

For information about ITA Reimbursements, student account activity/balances, ITA charges, or WIOA Training Provider Agreement Packet, please contact the ITA Payment Office.

ITA Payment Office

Tamara C Holcomb

Tamara.holcomb@commerce.alabama.gov

334-353-5165

ITA Payment Office Address:

Alabama Department of Commerce

Workforce Development Division

ITA Payment Unit

Post Office Box 304103

Montgomery, AL 36130-4103

Alabama Career Center
ITA Pre-Registration Activities

Phone:
Fax:

Customer Name: _____ Career Specialist: _____

Date Returned: _____

Date Given: _____

To be considered for an Individual Training Account through WIOA, you must complete the following activities, attach required information, and return to our office within the time period listed above. Financial assistance is based on availability of funding. If money is available, a contract will be submitted for approval. You will be notified once approved and scheduled for a WIOA New Student Orientation.

1. Research the labor market information (wages, demand, and growth) for your future employment field online using various websites (Career Website Guide, etc.) and in person, talking with employers and employees currently working in that field. **Attach your findings.**

2. Attend workshops as assigned by your Case Manager.

3. Complete nationally recognized short-term on-line credential. **Print certificate and attach**. (Required for GLWA Youth ITA.)

4. Look up your program of study on the WIOA provider list found at **www.etpl.alabama.gov** **Print out your curriculum and attach.** On the line below, please provide the exact number of semesters you will need to complete the program. _____

5. Your reading and math skills assessment (TABE) should indicate you are ready for the required English and Math courses for your chosen curriculum. Also provide documentation of your placement in courses, such as COMPASS scores, ACT scores, and/or your college transcript. **(Attach)**

6. You must apply for a Pell Grant for the upcoming semester and provide proof that you have done so, such as your Pell grant Award letter, Student Aid Report, or Financial Aid Status printout from your school. **(Attach)** In **most cases, WIOA will not cover the entire cost of training.** Please specify how you will cover any remaining cost.

7. You must provide proof of acceptance into the college of your choice (letter of acceptance, college transcript, current schedule, etc.…). **(Attach)**

8. You must provide proof of acceptance into the program of your choice. If your program does not provide a letter of acceptance, you may provide a copy of your degree plan. **(Attach)**

9. If you have children who require childcare, please provide documentation from the caregiver(s) since you will be attending school full-time, year-round. **(Attach)**

Note: *100% online courses will be approved provided the training provider has a physical "brick and mortar" location in the State of Alabama.*

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Revised 07/2019

County:_____Local Area:_____

WORKFORCE DEVELOPMENT DIVISION
INDIVIDUAL TRAINING ACCOUNT

PART I WIOA Enrollment Approval - completed by Alabama Career Center

1. Student Name		2. Social Security Number		3. ITA Number				
				Adult ○	Youth ○	Dis. Wkr. ○	Gov. Set. ○	Other ○
4. Education Training Provider		5. Location/Campus		6. Curriculum				
7. Training Schedule	A. Beginning Date		8. #of weeks (max 104)		9. Cost Category 5	Up to:		
	B. Ending Date		10. #of semesters		11. Category of Form	A. Original ☐		
						B. Reenrollment ☐		
12. Last Employer:		13. Rapid Response: YES NO		14. Case #:				
15. Reason for Leaving: Plant Closure Lay-Off Other (Explain):								
16. Concurrent Enrollment in TAA: Yes No If Yes, Enrollment Case #:								
17. Pell Grant: (YES) (NO)								
18. Comments:								

Print / Signature of Enrolling Agency Representative	Enrolling Agency	Date	Phone Number
Enrolling Approval: Signature of Authorized Representative:			

Instructions:

- **Alabama Career Center completes all blocks required.**
- **Send a scanned copy via encrypted email to ITA@commerce.alabama.gov.**
- **ITA Payment Office will distribute to Alabama Career Center (Alabama Career Center will distribute to Training Provider).**
- **Amendments to Part 1 - Alabama Career Center must complete amendment form.**

Part IIWIOA CONTRACT- completed by Training Provider

These budget items represent the training provider's official WIOA budget for the student named above and is completed when student begins training. Reimbursement to the training provider will be prorated equitably based on the number of semesters/terms required to complete the program.

1. Tuition		Semesters@		Per Semester	$ -
		Other@		Per	$ -
2. Fees, insurance, etc. (list items and cost)					
3. Tools (list items and cost)					
4. Other (list items and cost)					
5. **Total**					
If this is an amendment - Comments					

Workforce Development Division Representative	Date	Training Provider's Authorized Representative	Date

Instructions:

- **Training Provider completes Part II and submits 4 copies with an original signature to ITA Payment Office**
- **ITA Payment Office will distribute to WDD, Alabama Career Center, and Training Provider**
- **Amendments to Part II – Training Provider must complete amendment form.**

County:_____Local Area:_____

WORKFORCE DEVELOPMENT DIVISION
INDIVIDUAL TRAINING ACCOUNT

AMENDED PART I

1. Student Name			2. Social Security Number		3. ITA Number				
					Adult ◯	Youth ◯	Dis. Wkr. ◯	Gov. Set. ◯	Other ◯
4. Education Training Provider			5. Location/Campus		6. Curriculum				
7. Training Schedule	A. Beginning Date		8. #of weeks		9. Cost Category 5		Up to:		
	B. Ending Date		10. #of semesters		11. Category of Form		A. Original ☐		
							B. Reenrollment ☐		
12. Item Numbers Changed:			13. Date of Change:						
14. Comments:									
Print / Signature of Enrolling Agency Representative			Enrolling Agency		Date		Phone Number		
Enrolling Approval: Signature of Authorized Representative:									

*** Submit amendments to ITA@commerce.alabama.gov.**

AMENDED PART II

These budget items represent the training provider's official WIOA budget for the student named above and is completed when student begins training. Reimbursement to the training provider will be prorated equitably based on the number of semesters/terms required to complete the program.

1. Student Name		2. Social Security Number		3. ITA Number	
4. Beginning Date:			5. Ending		
6. Tuition		Semester		Per Semester	
		Other@		Per	
7. Fees, insurance, etc. (list items and cost)					
8. Tools (list items and cost)					
9. Other (list items and cost)					
10. **Total**					
If this is an amendment – Comments:					
Workforce Development Division Representative		Date	Training Provider's Authorized Representative		Date

*** Submit amendments to Part II to ITA Payment Unit for approval.**

WORKFORCE DEVELOPMENT DIVISION
INDIVIDUAL TRAINING ACCOUNT

NOTICE OF FAILURE TO REPORT AND WITHDRAWAL OF REFERRAL

To be completed by the Enrolling Agency and email scanned document to: The Local Area ITA Payment Unit and Training Provider **IMMEDIATELY** upon determination of the student's failure to report.

Student's Name		SSN
Training Facility		
Enrolling Career Center		
Date of Referral		ITA Number

We have been advised by the training facility that the above individual did not report for training as scheduled. You may destroy your records with respect to this individual as we have withdrawn this referral.

Signature of Enrolling Agency Representative

Date

Form -15 Rev. 02/2019

WORKFORCE DEVELOPMENT DIVISION
INDIVIDUAL TRAINING ACCOUNT
Report of Termination from ITA Services

ITA PROJECT NUMBER: _____

Student's Name		SSN	
Present Address			
Curriculum		Term. Date	
Credential/Degree/ License/Certificate. etc.			
Training Facility			
Enrolling Career Center			

◯	Placed by Training Provider*	◯	Poor Attendance	◯	Cannot Locate
◯	Found Own Job*	◯	Transportation Problems	◯	Death
◯	Entered School	◯	Moved from Area	◯	Transferred to TAA
◯	Entered Military	◯	Lack of Progress	◯	Graduated
◯	Illness	◯	Refused to Continue	◯	Other (Specify)

Comments:

*IF STUDENT IS WORKING, COMPLETE EMPLOYMENT INFORMATION BELOW:

Employer's Name			
Employer's Address			
Employer's Address			
Occupation		Starting Date	Wage Per Hour:

Comments:

IMPORTANT: When a student who is enrolled under the Workforce Innovation and Opportunity Act (WIOA) terminates or graduates, the training provider must complete this form on each terminee and distribute within two (2) weeks as follows:

One (1) copy to: Alabama Career Center

One (1) copy to: Workforce Development Division
P O Box 304103
Montgomery, Alabama 36130-4103

One (1) copy to: WDD ITA Payment Unit
Alabama Department of Commerce
Alabama Workforce Development Area Section
P O Box 304103
Montgomery, Alabama 36130-4103

Signature of Training Provider Official Preparing Report Date

WDD-14 Rev. 11/18

Term_____ Signature_____ Term_____ Signature_____

Term_____ Signature_____ Term_____ Signature_____

Term_____ Signature_____ Term_____ Signature_____

INDIVIDUAL TRAINING ACCOUNT RULES AND RESPONSIBILITIES

1. I must be enrolled as a full-time student with a training provider. This means I must schedule at least the minimum number of hours required to be classified as a full-time student as defined by the school.

2. I must attend school year-round. I cannot drop out for a semester/term and expect to re-enroll the following semester/term.

3. I have chosen to receive training in the _____curriculum and may not change my curriculum. In an extreme circumstance a curriculum change can be done; but, only at the end of my first semester/term and only after obtaining special permission from Alabama Career Center staff.

4. I must apply for the Pell Grant each academic year and for any other financial assistance that may be available. I must provide the Alabama Career Center with a copy of my Student Aid Report (SAR). I will meet with my financial representative to review guidelines regarding payment, purchasing, and reimbursement. I understand that all necessary purchases approved for WIOA funding should be made within the first week of each semester.

5. My ITA will provide funds only for required courses, fees, textbooks, tools, and equipment up to limits established by state or local policy. 100% online courses will be approved provided the training provider has a physical "brick and mortar" location in the State of Alabama.

6. If I drop or fail a class, I may retain my ITA as long as I can complete my training in the originally contracted time. I understand my ITA will not pay for me to retake any dropped or failed classes. The dropped/failed class/classes must be retaken immediately the following semester. The only exception is if the failed/dropped class is not available the following semester. I must bring my case manager documentation from the school stating why the class cannot be taken and when the failed or dropped class will be available for retake. Exceptions to this rule are not automatic and will be granted on a case by case basis

7. I will obtain and maintain a Student Handbook from my training provider, because I am subject to the rules of my training provider. I understand I must follow the training provider's entry requirements including financial responsibilities, curriculum requirements, attendance policies and disciplinary policies.

8. I must contact my Alabama Career Center Case Manager at least once per month. I must report to the Career Center in person to provide a copy of my grades for the semester/term most recently completed and a copy of my schedule for the upcoming semester/term.

9. I must immediately notify my Alabama Career Center Case Manager if I:

    - take a job or return to my former job;
    - exhaust my unemployment/TRA weekly benefits;
    - change my funding to TAA benefits;
    - need help in locating transportation or child care;

- change my schedule;
- move, change my address or telephone number;
- have trouble scheduling enough classes to be considered full- time;
- have attendance problems;
- do not plan to return to school for the next semester/term.

10. Alabama Career Center staff will periodically contact me during my training. It is my responsibility to respond as soon as possible to their attempts to contact me.

11. Upon training completion, I will provide Alabama Career Center staff with a copy of my degree, certification, or documentation of skills attained. If an exam is required in order to obtain a license or certification, I understand the exam must be scheduled and taken within six weeks. If an exam cannot be taken within six weeks, I will notify the Alabama Career Center. Failure to take the exam in a timely manner could result in non-payment of exam fees.

12. I understand I will actively seek employment upon completion of my training. Alabama Career Center staff will provide assistance.

13. Immediately upon entering employment, I will provide Alabama Career Center staff with my employer's name, address, phone number, my job title, wages, benefits, and the day I started work.

14. I understand workplace counseling is available if I experience any job-related problems.

15. I understand I will receive a Customer Satisfaction Survey and will respond to the survey.

16. I understand Alabama Career Center staff will contact me periodically after completion of training and/or entering employment to see how I am progressing and if any further services are needed.

17. I certify that I have been provided information on all available training options and that I have been given free choice to make my own decision regarding my selected training provider, taking into consideration the most cost-effective program for my chosen curriculum.

My signature acknowledges that I understand and agree to abide by the Rules and Responsibilities of the Individual Training Account Program (ITA).

_____ _____
Customer Signature Date

_____ _____
Alabama Career Center Staff Date

Alabama Career Center Information

Name:_____

Address:_____

Phone:_____ Fax_____ Email:_____

ALABAMA WORKFORCE DEVELOPMENT

Verification of Employment/Income

WIOA Applicant Name: First, Middle Initial, Last	Application Date
Employee Requesting Verification: First, Middle Initial, Last	**Relationship to Applicant**

TO WHOM IT MAY CONCERN:

This form is authorization to release information concerning my employment/income as required for Workforce Innovation and Opportunity Act (WIOA). In order to establish eligibility for training and employment services under WIOA, for myself or a family member, verification of income received during the period ___ ___ ___ to ___ ___ ___ is required. Please complete this form as soon as possible and return to the address below.

Thank you for your cooperation and prompt return of this information.

Employee Signature: _____ **Emp. SSN#:** _____

TO BE COMPLETED BY EMPLOYER

Please provide the information requested below for the employee listed above; this information will be used to assist in establishing eligibility for the Workforce Innovation and Opportunity Act.

EMPLOYER INFORMATION

Employer's Name	Employer's Contact Name/Title	Telephone Number

Address	City	State	Zip Code

EMPLOYEE INFORMATION

Occupation/Position Title	Employment Date	Income Determination Date
	From: To:	From: To:

Total Gross Wages/Salary (Includes all pay received (before deductions) inclusive of income determination date listed above)

$_____

Signature of Employer Representative: _____

Title: _____ **Date:** _____

For Office Use Only

CERTIFICATION

The information above may be completed by the contractor if verified by telephone contact; staff must indicate who supplied the information and the date the telephone contact was made.

Signature: _____ **Date:** _____

Revised 09/01/2017

ATTACHMENT I
SELF-EMPLOYED VERIFICATION
FOR
YOUTH ONLY

Follow-Up and Supplemental Data
SELF-EMPLOYED VERIFICATION (YOUTH ONLY)

Business/Company Name:_____

Type of Business:_____

Address: _____Phone: _____

Self-Employment Started: _____ _____ _____

Wage/Salary: $_____ [hourly/weekly/bi-weekly/monthly]

_____ Date: _____ _____ _____
Signature of Case Manager or Participant

Comments:

_____

ATTACHMENT J

ITA-WIOA INVOICE CLAIM FORM

Reimbursement Request
for WIOA - ITA/Individual Referral Participants

PERIOD OF BILLING: _____ **to** _____

TRAINING PROVIDER _____

ADDRESS OF TRAINING PROVIDER (payment mailing address) _____

NAME/SSN(last 4)	ITA/IR NUMBER *	TUITION	FEES	BOOKS	TOOLS/ SUPPLIES	TOTAL
					TOTAL	

SEND 2 COPIES(one with original signature)
Department of Commerce / WDD
ITA Payment Office
P.O. Box 304103
Montgomery, AL 36130-4103

TRAINING PROVIDER OFFICIAL ***(original signature)*** _____

** separate claim per ITA/IR Number*

ITA Payment Office Only
invoice # _____
date entry _____
voucher # _____