ALABAMA WORKFORCE INVESTMENT SYSTEM

Department of Commerce
Workforce Development Division
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May 31, 2017

GOVERNOR'S WORKFORCE INOVATION DIRECTIVE NO. PY2016-11

SUBJECT: *Individual Training Account Guidelines*

1. **Purpose.** This Directive transmits the May 2017 edition of the Workforce Development Division's revised *Individual Training Account Guidelines.*

2.Discussion These *Guidelines* have been developed through a joint staff effort 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 Train Account process.

These *Guidelines* are intended for use by the State of Alabama Career Center staff to provide the highest quality services to customers. These *Guidelines* replace all previous Individual Training Account Guidelines distributed by the Alabama Department of Economic and Community Affairs (ADECA), Governor's Office of Workforce Development (GOWD) and Skills Consortia; and supersede Governor's Workforce Development Directive Number PY2013-10.

3.Action. Those who are responsible for administration of the ITA program should follow these revised *Guidelines* in all local workforce development areas for ITAs funded with Workforce Innovation and Opportunity Act (WIOA) funds.

4. **Contact.** Questions regarding this Directive should be referred to Bill Hornsby, Supervisor, Workforce Development Division, State Programs, Planning, and Divisional Budget Management Section at (334) 242-5847 or Email: bill.hornsby@commerce.alabama.gov.

Steve Walkley, Division Director
Workforce Development Division

Date 5/31/2017

Attachment

MAY, 2017
REVISION

Individual Training Account Guidelines

Alabama Department of Commerce
Workforce Development Division

Alabama's
Career Center System

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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.

Though numerous individuals have provided invaluable information and assistance in developing this document, special thanks go to the following people who have worked to ensure these policies are accurate and comprehensive.

Brinda Barrett	Jim Cook	Tina Geckles	Ovetta Moscatiello
Ruby Beezley	Mickey Hutto	Tamara Holcomb	Jim Ramsey
Laura Bethea	Tammy Wilkinson	Haley Reynolds	Connie Jones

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). 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 (NDWG) funds to serve Dislocated Workers and National Emergency Grants (NEG). 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. 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.

Because most training provided through an ITA is technical, a maximum of fifty percent of required courses may be taken online. Exceptions to this rule may be granted in special circumstances and must be requested in writing to the Area Management. An example of when a waiver might be issued is in the case of a participant who is completing a four-year "academic" degree and the courses can be taken online. A second example would be when the "lecture" portion of the curriculum classes exceeds 50%. Please note that an exception to the 50% Online Class Rule can only be waivered for actual "brick and mortar" institutions.

In addition, all final testing for the online classes must be taken at the institution's physical location and proctored by an Instructor.

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. <u>All ITA applicants must apply for a Pell Grant each</u> <u>year served</u> 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/ISS 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, Alabama JobLink 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 then completes and mails **the original Form WDD-13, Part I,** Individual Training Account Form (Attachment C) for approval. 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.

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/ISS;
- 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 requirements.

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 requirements 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 standard measures the number of participants actively enrolled in an education or training program that leads to a recognized postsecondary 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 particular 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 or not 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 Trng. 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, CAN, 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 second 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 Alabama JobLink website 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 w/W-2 form, pay stub, 1099 form or other written documentation when available
- Telephone/form/mail verification w/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. Individual Training Account (ITA) Payment Guidelines

The Training Provider should have (on site) the approved ITA Agreement that originates from the Career Center before the student starts training. The ITA Agreement contains information that will be used to create the student's account and to submit billing claims for reimbursement. The Training Provider's, financial aid, and the business office should coordinate with each other regarding the student's enrollment.

The ITA Agreement, Part II, is completed by the Training Provider. The Part II section is a breakout of cost categories for tuition, fees, books, and 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.

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, 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 not cover:

- Pre-requisite, remedial, or repeat for drop/failure (WIOA paid 1st time) classes.
- "High end" supplies (gold nursing pins, gold nursing watches, expensive brand of tools when average cost tools are available).
- Equipment items like computers, printers, I-pads, I-pods, etc. (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.

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

A. REIMBURSEMENTS

The State ITA Payment Office or local workforce development areas' ITA Payment Offices will only reimburse WIOA funds to the Training Provider. No payments are paid directly to the student or vendor. WIOA students may be reimbursed for out of pocket expenses that the

Training Provider is unable to provide and subject to coordination with the Training Provider prior to purchase. Training Providers should inform the WIOA students of their 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 misunderstandings.

WIOA funds are provided for expenses per Program Year, July 1st through June 30th. Deadlines are given each year for reimbursement of expenses occurring during that program year. Failure to submit billing claims in a timely manner within the designated program year could result in delayed or non-payment. Advance payments prior to and for future training is not allowed. Billing claims should be submitted for reimbursement within 20 class days from 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, the training provider may receive one payment or establish prorated amounts per the training period. Training programs greater than 12 months in length should be billed incrementally by semester to last throughout the life of the participant's training contract. Supplemental billing may be submitted at any point during training.

The Form ITA 31 may be used to submit requests for reimbursement. Training Providers may also use computer generated printouts from their accounting system if more convenient, efficient, and follows requirements for reimbursement.

Required items on the reimbursement request are:

- Period of billing – the time frame of the billed expenditures
- Exp.- start and end date of a semester
- Training Provider's name(s) and address as it is listed in the STAARS system
- ITA/IR Budget Number – listed on the WIOA ITA Agreement
- Student name and SSN (at least last 4 digits) or student id#
- Cost breakout – Tuition, fees, books, supplies and total for period of billing
- 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. 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. Example – budget number 61222489 billed together, budget number 64222489 billed together and budget number 66222489 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.

All receipts for purchases must be signed by the student 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 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 purchase books/supplies prior to the start date of training. Items with a purchase date prior to the start date listed on the ITA Agreement can't be reimbursed 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.

Once the Training Provider has submitted the Report of Termination, that date of termination is entered as the training end date. Billing Claims may be submitted after a Report of Termination has been reported, if the expenses occurred prior to the termination date. Once training is completed, the only expenses that can be reimbursed (after the end date) are 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 delay by the student 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 writing "RESCINDED" at the top of the form with the "Date", and in comments the reason for rescinding. Distribute copies as instructed on form.

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

The Eligible Training Provider List (ETPL) is referenced on each ITA enrollment. It is important that the information you provide for the ETPL is current and accurate to properly have a complete budget plan for the student.

Attachment A

Basic Minimum Grade Level Scores

BASIC MINIMUM GRADE LEVEL SCORES FOR ITA PARTICIPATION

Course	Grade Level Requirement
Short-term Training Less than Six Months in Duration	9.0 Reading and 9.0 Math
Truck Driver/Commercial Driver's License (CDL)	7.0 Reading and 7.0 Math
Short-term Training of Six Months to One Year in Duration	10.0 Reading and 10.0 Math
Technical Training of One Year or longer (Welding, Office Administration, etc.)	10.0 Reading and 10.0 Math
Highly Technical Training of One year or longer (Electronics, HVAC, Computer Science/Repair)	12.0 Reading and 10.0 Math

MEDICAL CURRICULA

Short-term Medical of less than 1 year	10.0 Reading and 9.0 Math (Certified Nursing Assistant, Surgical & Operating Room Technician, Phlebotomy, Pharmacy Tech)
LPN and other medical training of one year or longer (Occupational/Physical Therapist, Respiratory Therapist)	12.0 Reading and 12.0 Math
RN and other highly technical Medical Curricula (Clinical Lab Technician, Radiology, etc.)	12.0 Reading and 12.0 Math

7/2016

Attachment B

ITA Pre-Registration Activities

Alabama Career Center System

Alabama Career Center
ITA Pre-Registration Activities

Phone:

Fax:

Customer Name: ______________________________ Career Specialist: ______________________

Date Given: __________________________________ Date Returned: ________________________

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. Look up your program of study on the WIOA provider list found at www.joblink.alabama.gov (click Resources, training opportunities, then Alabama WIOA Eligible Training Providers.) **Print out your curriculum and attach**. On the line below, please provide us with the exact number of semesters you will need to complete the program.

   ____

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

5. 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:

   ____

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

7. 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)**

8. 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: Only 50% of total classes may be taken on-line.

Attachment C
Form-13
Workforce Development Division
Individual Training Account
Enrollment Approval and Contract
and
Amended Part I & II

Region________________ County__________ Code_______

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		Dis. Wkr. / Gov. / Other
4. Education Training Provider		5. Location/Campus		6. Curriculum		
7. Training Schedule	A. Beginning Date	8. #of weeks (max 104)		9. Cost Category 1 2 3 4	Up to:	
	B. Ending Date	10. #of semesters		11. Category o	A.	
					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 Enrolling Agency Representative	Enrolling Agency	Date	Phone Number
Enrolling Approval: Signature of Authorized Representative:			

Instructions:

- **Alabama Career Center completes all blocks required.**
- **Mail original to The Local Area, for approval.**
- **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 II WIOA 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 The Local Area, Alabama Career Center, and Training Provider**
- **Amendments to Part II – Training Provider must complete amendment form.**

Instructions for Completing Form-13 Part I and Part II

Part I

1. Enter the student's full name. The name should appear as it will on all WIOA enrollment documents.
2. Enter the student's Social Security Number.
3. Enter the assigned ITA Project number and check fund source.
4. Enter Training Provider Name.
5. Enter Training Provider Location and/or Campus.
6. Enter Curriculum.
7. a. Enter Beginning Date. b. Enter Ending Date.
8. Enter number of weeks.
9. Circle the Cost Category and enter amount of cost allocation requested.
10. Enter number of semesters.
11. Enter category of form (original enrollment form or re-enrollment form).
12. Enter Last Employer.

13-16 Complete if Governors Set- Aside or Rapid Response.

13. Check yes or no if eligible for Rapid Response.
14. Enter Case number for Rapid Response.
15. Check or Enter reason for leaving previous employer.
16. Check yes or no if concurrent enrollment in TAA and enter case# if yes. 17. Pell Grant, check yes or no
18. Enter comments if needed.

Requires signature of enrolling agency representative, enrolling agency, date, and complete phone number.

(Alabama Career Centers can type name of representative and then initial beside name.)

Requires signature of Approval from Authorized Representative from The Local Area and date.

Part II

1. Enter number of semesters, estimated amount of cost for tuition per semester and total amount in column.
2. Enter estimated amount for Fees such as graduation, testing, etc. (list items and cost).
3. Enter estimated amount for Tools and Supplies (list items and cost).
4. Other (list item and cost).
5. Total (this amount should be the total estimated cost of all expenses for the duration of the contract). Note: There are maximum spending amounts depending upon length of training. (See #9 on Part I.) Requires signature from Training Provider and date. Requires signature from Authorized Representative from The Local Area and date.

Distribution of Form-13 Part I and Part II

Part I

- Form-13 Part I is completed by Alabama Career Center and then submitted to The Local Area for approval.
- Once approved, The Local Area forwards the Form-13 to the ITA Payment Office.
- The ITA Payment Office distributes to Alabama Career Center.
- Alabama Career Center distributes to the Training Provider via person/fax.

Part II

- Training Provider completes Part II below the approved section Part I.
- The Training Provider submits four (4) sets to the ITA Payment Office.

The ITA Payment Office reviews, approves, and distributes. When the entire process is complete, the Training Provider, Alabama Career Center, ITA Payment Office, and Local Area should have an approved Form-13 with Part I and Part II on the same sheet.

Region_______________ County_________Code_______

WORKFORCE DEVELOPMENT DIVISION
INDIVIDUAL TRAINING ACCOUNT

AMENDED PART I

1. Student Name		2. Social Security Number		3. ITA Number				
				Adult		Dis. Wkr	Gov. Set.	Other
4. Education Training Provider		5. Location/Campus		6. Curriculum				
7. Training Schedule	A. Beginning Date	8. #of weeks (max104)		9. Cost Category 1 2 3 4		Up to:		
	B. Ending Date	10. #of semesters		11. Category of Form		A. Original B. Reenrollment		
12. Item Numbers Change				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 The Local Area, for approval.**

AMENDED PART II

These budget items represent the training provider's <u>official WIOA budget for the student named above</u> 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 Date:		
6. Tuition		Semesters		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**

Form-13 Amended Rev. 5/2017

Instructions for Completion of Amended Form-13 Part I and Part II

Part I

- Amendments to Form-13 Part I can only be made by the Career Center.
- Complete 1-11 with correct information.
- 12. Enter which numbers were changed.
- 13. Enter the date you are making the change or the date the change takes effect. (This date could affect fund availability depending on items changed.)
- 14. Enter comments on reason for changes. Also, note in the comment section if the change does not affect the budget.
- Submit for approval.
- Complete all of Form-13 Part I only.
- Requires signature of enrolling agency representative, enrolling agency, date and complete phone number.
- Requires signature of Approval from Authorized Representative from The Local Area and date.
- NOTE: If the training has started, the beginning date always stays the same as on the Part I; the only time the beginning date will change on the Amended Form-13 is if the Provider changes the beginning of training or the student has a reason for the delay.

Part II

- Amendments to Form-13 Part II can only be made by the Training Provider.
- Use only to amend budget amounts.
- Complete only Form-13 Part II, Numbers 1-5, and list only the amount the budget will increase/decrease.
- Enter the new information for budget and the reason for changes in comments.
- Requires signatures and dates from Training Provider and Authorized Representative from The Local Area.
- There will be instances where only one, either Part I or Part II, will need an amendment; this will leave the other Part blank and you will need to reference the original Form-13 for information.

Training Providers are no longer required to complete a new Part II if the Part I is amended by the Alabama Career Center.

Distribution of Amended Form-13 Part I and II

Amended Form-13 Part I

- The Amended Form-13 Part I is completed by Alabama Career Center and then submitted to The Local Area for approval.
- Once approved, Local Area forwards the Form-13 to the ITA Payment Office.
- The ITA Payment Office distributes to Alabama Career Center.
- Alabama Career Center distributes to the Training Provider via person/fax.

Part II

- Training Provider completes Amended Form-13 Part II below the approved section Part I.
- The Training Provider submits four (4) sets to the ITA Payment Office.
- The ITA Payment Office reviews, approves, and distributes.

When the entire process is complete, the Training Provider, Alabama Career Center, ITA Payment Office, and Local Area should have an approved Amended Form-13 with Part I and Part II on the same sheet.

Attachment D
Form-15
Individual Training Account
Notice of Failure to Report and
Withdrawal of Referral

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 Agency			
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. 5/2017

Attachment E

Form-14
Individual Training Account

Report of Termination from ITA Service

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 Agency			

	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: The Local Area

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

Form-14 Rev. 5/2017

Attachment F

Individual Training Account Rules and Responsibilities

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. A maximum of fifty percent of required courses may be taken online.

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 s ix 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 Contact Information

Name: __________________________

Address: __________________________

Phone ______________ Fax __________ Email ________________

ATTACHMENT G

COST CATEGORIES

Cost Categories for Individual Training Accounts (ITA) (Scholarships)

Category 1:

- Reimbursement up to $3500.
- Training Length: 13 Weeks or Less
- Obtain Certificate, License or Skills-Specific Credential

Category 2:

- Reimbursement up to $6500.
- Training Length: 12 Months or Less
- Technically Advanced Short-Term Training is allowed
- Obtain Certificate, License or Skills-Specific Credential

Category 3:

- Reimbursement up to $8,000.
- Training Length: Greater than 12 Months, but Less than 17 Months
- Obtain an advanced Certificate, Degree or License
- LPN is a Specified Inclusion

Category 4:

- Reimbursement up to $12,000.
- Training Length: Greater than 17 months, but no Longer than 24 Months
- Leads to an Associate in Applied Science or Advanced Technical Certificate

ATTACHMENT H

EMPLOYMENT VERIFICATION

Follow-Up and Supplemental Data
EMPLOYMENT VERIFICATION

Employee Name (please print): ______________________________

TO WHOM IT MAY CONCERN:

This is your authorization to release information concerning my employment as required below. This is in order to comply with the Follow-Up requirements under the Workforce Innovation and Opportunity Act (WIOA), in those instances where verification of employment and any income received is needed.

Your cooperation and prompt return of this information is appreciated.

Thank you,

______________________________ Date ____/____/____

Signature of Employee

TO BE COMPLETED BY CASE MANAGER or EMPLOYER
Employer's Name: ______________________________ Address: ______________________________ ______________________________ Phone: ____________ Position/Job Title: ______________________________ Date Employed: ____/____/____ Wage/Salary: $____________ [hourly/weekly/bi-weekly/monthly] (includes all pay received before deductions) ______________________________ ____/____/____ Signature of Case Manager or Employer Representative Date

ATTACHMENT I

EXIT INFORMATION
FOR
YOUTH ONLY

EXIT INFORMATION (YOUTH ONLY)

Name: ____

Last Date of WIOA Service(s) _____/_____/_____ EXIT DATE: _____/_____/_____

Employer Name: ____

Address: ____

START DATE: _____/_____/_____ Job Title: ____________________________

WAGE(S): $ _________ [Hourly/weekly/monthly]

Credential Earned: Yes No Date Attained _____/_____/_____ If
Yes, include copy

Training-Related Employment: Yes No

Other Information (i.e., Other Reasons for Exit, Deceased, Health/Medical issue, Back on Active Duty, Institutionalized):

____

____

____

Case Manager ______________________________ Date _____/_____/_____

ATTACHMENT J
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 K

ITA-WIOA INVOICE CLAIM FORM

ITA PAYMENT OFFICE ONLY
POSTED:

Reimbursement Request

for WIOA - ITA/Individual Referral Participants

PERIOD OF BILLING: ________________ to ________________

TRAINING PROVIDER

ADDRESS OF TRAINING PROVIDER (payment mailing address)

NAME/SSN	ITA/IR NUMBER *	TUITION	FEES	BOOKS	TOOLS/ SUPPLIES	TOTAL
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
	TOTAL	$ -	$ -	$ -	$ -	$0.00
				GRAND TOTAL		$ -

SEND 2 COPIES (one with original signature)

WIOA ITA Payment Office

address

city, state zip

TRAINING PROVIDER OFFICIAL *(original signature)*

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

** separate claim per ITA/IR Number*

WDD-31